



THE OFFICE OF THE INSPECTOR GENERAL OF THE INTELLIGENCE COMMUNITY

# SEMIANNUAL REPORT

APRIL - SEPTEMBER

# 2023

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## Message from the Inspector General

On behalf of the Office of the Inspector General of the Intelligence Community (IC IG), I am pleased to present the *Semiannual Report to Congress* summarizing the office's objectives, achievements, and activities from April 1, 2023, through September 30, 2023.

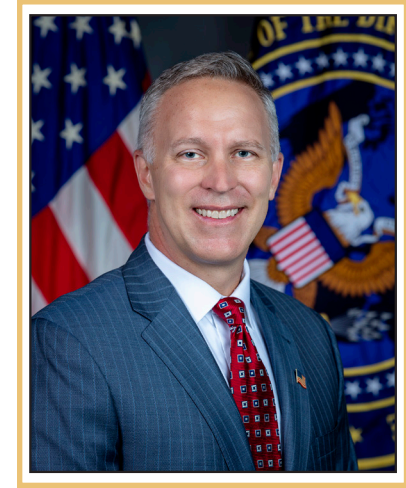
The IC IG core values of Integrity, Independence, Transparency, Accountability, and Diversity guide our work as we advance our vital mission of promoting economy, efficiency, and effectiveness in the programs and activities within the responsibility of the Director of National Intelligence (DNI) and preventing and detecting fraud, waste, and abuse in those programs and activities.

In addition to audits, inspections, investigations, reviews, evaluations, Hotline matters, and other activities conducted during this period, IC IG continued quarterly meetings with the DNI and senior Office of the Director of National Intelligence (ODNI) staff to discuss open IC IG recommendations. These meetings promote even greater cooperation, transparency, and accountability. Since establishing these meetings with the DNI and senior ODNI staff in August 2022,

the IC IG has closed 53 recommendations from 22 IC IG reports issued between November 2015 and June 2023. Due to ODNI's efforts, 80 percent of IC IG recommendations made since fiscal year 2016 have been closed. IC IG appreciates the DNI's continued focus on these matters.

For the first time, IC IG hosted its 2023 Intelligence Community Inspectors General Conference, themed "Independence," in a hybrid format. We were also proud to host the Intelligence Community Inspectors General Awards Ceremony, held in person for the first time in four years due to the pandemic, at which we celebrated the impressive accomplishments of individuals and teams from around the community.

We continue to work closely and collaboratively with the ODNI, Congress, U.S. Government Accountability Office, Intelligence Community Inspectors General



Forum, Council of the Inspectors General on Integrity and Efficiency, Five Eyes Intelligence Oversight and Review Council, and others.

I am grateful to the IC IG team, and to those that we work with throughout the Inspector General and Intelligence Community, who make the work captured in this report possible. As a result, we are strengthening the Intelligence Community in service to the Nation.

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**THOMAS A. MONHEIM**  
Inspector General of the  
Intelligence Community

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OCTOBER 31, 2023



## ABOUT US

### Authority

In 2010, Congress amended the National Security Act of 1947 (50 U.S.C. § 3001 et seq.) to establish the Office of the Inspector General of the Intelligence Community (IC IG) within the Office of the Director of National Intelligence. This establishment is codified at 50 U.S.C. § 3033. The IC IG has the statutory authority to independently conduct, and issue reports on, audits, inspections, investigations, and reviews of programs or activities within the Director of National Intelligence's responsibility and authority. The IC IG is authorized to receive and investigate complaints or information from whistleblowers, and to conduct independent reviews of Intelligence Community matters and whistleblower reprisal claims.

Congress also established the Intelligence Community Inspectors General Forum (the Forum) under 50 U.S.C. § 3033. The IC IG serves as the Chair and Forum members consist of the statutory and administrative Inspectors General with oversight responsibility for an Intelligence Community element. The Forum provides a venue for coordination and collaboration regarding matters of common interest, questions of jurisdiction, and access to personnel and information that may affect more than one Office of the Inspector General.

## OFFICE OF THE INSPECTOR GENERAL OF THE INTELLIGENCE COMMUNITY

## Mission

The Office of the Inspector General of the Intelligence Community's mission is to promote economy, efficiency, and effectiveness and to prevent and detect fraud, waste, and abuse in the programs and activities within the Director of National Intelligence's responsibility and authority.

## Vision

A premier workforce that exemplifies core values and strengthens the Intelligence Community and Nation.

### Core Values



#### INTEGRITY

Do the right thing for the right reasons and the right way.



#### INDEPENDENCE

Do our jobs impartially without fear or favor.



#### TRANSPARENCY

Foster trust and confidence through openness and honesty.



#### ACCOUNTABILITY

Be responsible at every level and in every direction.



#### DIVERSITY

Respect and actively leverage the full range of talent on our team.

## Statement of Independence

The Inspector General of the Intelligence Community is appointed by the President of the United States, by and with the advice and consent of the Senate. By statute, the Inspector General of the Intelligence Community must be nominated based on integrity, experience, and demonstrated ability, and without regard to political affiliation. Likewise, the Office of the Inspector General of the Intelligence Community (IC IG) must perform its duties with independence, objectivity, and impartiality. Accordingly, the IC IG's findings and conclusions are not influenced by bias or external interference; they are based on the facts and applicable law and in accordance with applicable standards for Offices of Inspector General.



The IC IG must perform its duties with independence, objectivity, and impartiality.

## Statutory Requirements

Pursuant to 50 U.S.C. § 3033(k)(1)(A), the IC IG shall, not later than October 31 and April 30 of each year, prepare and submit to the Director of National Intelligence (DNI) a classified and, as appropriate, an unclassified semiannual report summarizing the IC IG's activities during the immediately preceding six-month period ending September 30 and March 31, respectively.

Not later than 30 days after the date of the receipt of the report, the DNI shall transmit the report to the congressional intelligence committees, together with any comments the DNI considers appropriate. The DNI shall transmit to the committees of the Senate and of the House of Representatives with jurisdiction over a department of the United States Government any portion of the report involving a component of such department simultaneously with submission of the report to the congressional intelligence committees.

All IC IG inspection and investigation activities conform to standards adopted by the Council of the Inspectors General on Integrity and Efficiency (CIGIE). The IC IG conducts all audit activities in accordance with generally accepted government auditing standards.

During this reporting period, the Office of the Director of National Intelligence (ODNI) provided the IC IG adequate funding to fulfill its mission. The budget covered personnel services and general support, including travel, training, equipment, supplies, information technology support, and office automation requirements. The IC IG also obtained access to all information relevant to the performance of its duties during the reporting period. For some data sets, IC IG did not have direct access to necessary information, but instead obtained information from data holders. IC IG is exploring options for direct access to critical data sets in order to facilitate IC IG-authorized activities and better protect the identities of whistleblowers and subjects of IC IG investigations.



## Organizational Structure

The IC IG employs a highly skilled, committed, and diverse workforce, including permanent employees (cadre), employees from other Intelligence Community elements on detail to the IC IG (detailees), and contractors. Additional personnel details are listed in the *Semiannual Report Classified Annex*.

The IC IG's senior leadership team comprises the Inspector General, Principal Deputy Inspector General, Counsel to the Inspector General, four Assistant Inspectors General, and the Director of the Center for Protected Disclosures.



## Strategic Plan

In 2023, the IC IG published its strategic plan on its public website for the first time. The strategic plan reaffirms and refines our mission, vision, values, goals, and objectives. The *Office of the Inspector General of the Intelligence Community Strategic Plan 2023–2027* highlights IC IG leadership’s dedication to the people, products, and partnerships of the organization. The plan provides a path to advance the IC IG mission, expand cross-community engagement, and align projects and resources to enhance and strengthen the ODNI and the Intelligence Community (IC).

The IC IG also developed a strategic action plan for fiscal year (FY) 2023 to further define initiatives to advance the goals and objectives outlined in the *Office of the Inspector General of the Intelligence Community Strategic Plan 2023–2027*. The IC IG is developing its fiscal year 2024 strategic action plan, which it plans to finalize in the next reporting period.



## Strategic Goals

**Strengthen the foundation of the Office of the Inspector General of the Intelligence Community** by recruiting, developing, and retaining a premier workforce and fostering a diverse, inclusive, collaborative, engaging, and professional environment.

**Conduct high-quality and timely audits, inspections, investigations, reviews, and other activities** to improve the integration, economy, and efficiencies of the Office of the Director of National Intelligence and the broader Intelligence Community. Support and protect Intelligence Community personnel who engage in lawful whistleblowing activities.

**Enhance collaboration, coordination, and communication among Intelligence Community Offices of Inspector General, the Director of National Intelligence, Congress, and our partners and stakeholders.**

## PROMOTING ACCOUNTABILITY THROUGH COOPERATION



In December 2021, the Office of Management and Budget (OMB) identified eight ongoing agency practices to enhance cooperation and accountability between Inspectors General (IGs) and the heads of executive departments and agencies, to include “promptly respond[ing] to IG reports to preclude lingering open recommendations” and “hold[ing] routine meetings to have candid discussions in a non-audit setting and maintain[ing] clear lines of communication between the appropriate IG officials and agency leadership.”<sup>1</sup>

To enhance cooperation and accountability, the IC IG instituted quarterly meetings with the DNI and senior ODNI staff beginning in August 2022 to discuss open IC IG recommendations. The IC IG, DNI, and senior ODNI staff met twice during the reporting period to discuss specific open recommendations. A June 2023 meeting focused on open recommendations related to information security and the Intelligence Community Foreign Language Program, and an August 2023 meeting focused on open recommendations in the areas of information security and ODNI pandemic preparedness and response.

Since establishing these meetings with the DNI and senior ODNI staff, IC IG has closed most of its oldest open recommendations,<sup>2</sup> to include 53 recommendations from 22 IC IG reports issued between November 2015 and June 2023. Due to ODNI’s efforts, 80 percent of IC IG recommendations made since FY 2016 have been closed.

The IC IG and DNI will continue to conduct quarterly meetings with the ODNI senior leadership to discuss open recommendations and promote greater cooperation, transparency, and accountability. The next meeting is scheduled for November 2023.

<sup>1</sup> Memorandum M-22-04, *Promoting Accountability through Cooperation among Agencies and Inspectors General*, Office of Management and Budget (December 3, 2021).

<sup>2</sup> Six of the IC IG’s oldest open recommendations were from the FY 2016 Financial Statement Audit (FSA). The IC IG contracted with an independent public accounting firm (IPA) to conduct the FY 2022 FSA. In the course of the audit, the IPA developed updated and more targeted recommendations that had the same intent as the FY 2016 recommendations. These new recommendations replaced the aged recommendations.

# ODNI Management Challenges

On September 28, 2023, the IC IG issued what it considered to be the most significant management and performance challenges facing the ODNI. To provide additional clarity and context, this report was reissued on October 27, 2023, and supersedes the original version. The management and performance challenges will be included in the *Fiscal Year 2023 Agency Financial Report* to be published in November 2023.

The IC IG’s management and performance challenges report is published in full in the *Semiannual Report Classified Annex*.

## CHALLENGES

IC IG defines a management and performance challenge as either a program or management function that has a significant vulnerability to waste, fraud, abuse, and mismanagement and may not receive appropriate attention; or an IC IG-identified issue where a failure to perform well could seriously affect the ODNI’s ability to achieve its mission or goals. IC IG derives management and performance challenges from its completed audit, inspection, and investigation findings, and other activities with unimplemented recommendations. ODNI senior leader perspectives supplement, but do not determine, these challenges. Based on our body of work, the IC IG considers ODNI’s management and performance challenges to consist of the following areas (not presented in order of importance):



## RISK AREAS

For the first time in these annual reports, IC IG has identified risk areas for ODNI. Risk areas represent areas of concern that ODNI senior leaders, Congress, and other oversight entities identified, or that IC IG observed, but which are not always based on information IC IG has independently verified or the results of a completed IC IG audit, inspection, investigation, or other IC IG activity. IC IG has identified risk areas because they provide meaningful and timely areas of focus with respect to current and foreseeable challenges, but they are often less well-defined than identified management and performance challenges. The IC IG identified the following ODNI risk areas (not presented in order of importance):





## PRODUCTS

AUDIT DIVISION

INSPECTIONS AND EVALUATIONS DIVISION

INVESTIGATIONS DIVISION

MISSION SUPPORT DIVISION

CENTER FOR PROTECTED DISCLOSURES

COUNSEL TO THE INSPECTOR GENERAL

# Audit Division

The Audit Division's mission is to conduct independent and objective audits and reviews of ODNI programs and activities, including audits required by law. Audit Division activities improve business practices to better support the IC's mission; promote the economy, efficiency, and effectiveness of programs and operations throughout ODNI and the IC; and help reduce fraud, waste, abuse, and mismanagement. Audit work focuses on information technology and security, acquisition policies and practices, project management, business practices, human capital, personnel security, and financial management. Auditors assess whether programs are achieving intended results and whether organizations are complying with laws, regulations, and internal policies in carrying out programs.

Audit recommendations and engagements inform ODNI management's efforts to improve the efficiency and effectiveness of ODNI programs. The Audit Division collaborates with other federal agencies and departments to conduct joint reviews of IC programs and activities, perform peer reviews that assess quality controls, and discuss and address relevant topics of importance to the Inspector General community.

## AUDIT DIVISION

During the reporting period, the Audit Division completed three projects.



### COMPLETED PROJECTS

#### **AUD-2022-004: Evaluation of the Defense Intelligence Agency, Office of the Inspector General (April 2023)**

The IC IG conducted an evaluation of the Defense Intelligence Agency (DIA), Office of the Inspector General (OIG). The classified annex accompanying the Damon Paul Nelson and Matthew Young Pollard Intelligence Authorization Act for Fiscal Years 2018, 2019, and 2020 (division E of Public Law 116-92) directed the IC IG, in coordination with the Department of Defense (DoD) OIG, to provide the congressional intelligence and defense committees with an assessment of the effectiveness of the DIA OIG. The evaluation's objective was to assess the effectiveness of the DIA OIG, consistent with the Inspector General Act of 1978<sup>3</sup> and DoD Directive 5106.04, *Defense Inspectors General*.<sup>4</sup>

The DIA OIG is effectively structured in accordance with the Inspector General Act of 1978 and DoD Directive 5106.04, which allows the OIG to meet its statutory mission, provide oversight, and bring positive results to DIA programs and operations. Specifically, the DIA's process for selecting an Inspector General was consistent with DoD and Office

of Personnel Management guidelines for assessing and appointing Defense Intelligence Senior Executive Service candidates. Additionally, the DIA OIG:

- Was designed to be an independent organization;
- Was staffed in a manner consistent with the Inspector General Act of 1978, Council of the Inspectors General on Integrity and Efficiency, and DoD requirements, and similarly to other statutory Intelligence Community OIGs;
- Demonstrated objectivity and independence in OIG work (audits, inspections and evaluations, and investigations);
- Implemented safeguards against identified threats that may potentially impair OIG independence or hinder an OIG's ability to perform its statutory responsibility; and
- Implemented initiatives to address morale concerns within the OIG.

As a result, IC IG did not issue any recommendations.

**FY 2022 IC Management and Performance Challenge(s):** N/A

**FY 2023 ODNI Management and Performance Challenge(s):** N/A

**2023 National Intelligence Strategy Goal(s):** N/A

<sup>3</sup> At the time of the evaluation, the Inspector General Act of 1978 was codified at 5 U.S.C. App. It is now codified at 5 U.S.C. § 401 et seq.

<sup>4</sup> Department of Defense Directive 5106.04, *Defense Inspectors General*, May 22, 2014, Incorporating Change 1, Effective May 14, 2020.

# AUDIT DIVISION



## COMPLETED PROJECTS

### **AUD-2023-001: Fiscal Year 2023 Independent Evaluation of the Office of the Director of National Intelligence’s Information Security Program and Practices, as Required by the Federal Information Security Modernization Act of 2014 (July 2023)**

On July 25, 2023, the Audit Division reported on its evaluation of the effectiveness and maturity of the ODNI’s information security program and practices pursuant to 44 U.S.C. §§ 3551-3558 (commonly known as the Federal Information Security Modernization Act of 2014 or FISMA). The Audit Division performed this evaluation using the FY 2023–2024 Inspector General FISMA Reporting Metrics, which references a five-level maturity model spectrum used to assess the effectiveness of the agency’s information security programs.<sup>5</sup> The foundational levels of the maturity model spectrum ensure that the agency develops sound policies and procedures, and the advance levels capture the extent that the agency institutionalizes those policies and procedures. The report included new recommendations to address the deficiencies discussed in the report.

*Additional details may be found in the Semiannual Report Classified Annex.*

**FY 2022 IC Management and Performance Challenge(s):** Insider Threat; Cybersecurity Controls; Policies and Procedures

**FY 2023 ODNI Management and Performance Challenge(s):** Insider Threat; Information Security and Management; Policies and Procedures; Resiliency and Readiness

**2023 National Intelligence Strategy Goal(s):** Deliver Interoperable and Innovative Solutions at Scale; Enhance Resilience

### **AUD-2023-005: Risk Assessment of the Office of the Director of National Intelligence Charge Card Program (August 2023)**

The Audit Division conducted an assessment of the ODNI FY 2022 charge card program pursuant to the Government Charge Card Abuse Prevention Act of 2012 (Public Law 112–194) to analyze the risk of illegal, improper, or erroneous charge card purchases and payments. ODNI’s potential risks within the purchase and travel card programs are minimal. We determined an audit of ODNI’s purchase and travel card spending was not warranted at this time.

*Additional details may be found in the Semiannual Report Classified Annex.*

**FY 2022 IC Management and Performance Challenge(s):** Financial Management

**FY 2023 ODNI Management and Performance Challenge(s):** Financial Management

**2023 National Intelligence Strategy Goal(s):** N/A

<sup>5</sup> The five maturity model levels are: Level 1—Ad-hoc; Level 2—Defined; Level 3—Consistently Implemented; Level 4—Managed and Measurable; and Level 5—Optimized.



# AUDIT DIVISION



## ONGOING PROJECTS

### **AUD-2020-001: Audit of Integrity and Use of Security Clearance Data Reported to the Office of the Director of National Intelligence**

The DNI, as the Security Executive Agent, is responsible for assuring the quality, timeliness, consistency, and integrity of national security vetting practices. The IC IG Audit Division, along with the OIGs for the Central Intelligence Agency, National Security Agency, and Department of State, audited data IC elements reported in response to the Security Executive Agent's *Metrics Reporting Requirements for National Security Vetting in Fiscal Year 2018 and Beyond*. The audit objectives are to determine whether IC elements accurately captured, documented, and reported required security clearance processing timeliness information. The audit team completed field work and testing, and briefed preliminary results to ODNI officials. However, subsequent resource constraints and higher priority statutory project requirements delayed the schedule for issuing this report.

**FY 2022 IC Management and Performance Challenge(s):** Personnel Security Clearance and Reciprocity Processes; Policies and Procedures

**FY 2023 ODNI Management and Performance Challenge(s):** Policies and Procedures

**2023 National Intelligence Strategy Goal(s):** Recruit, Develop, and Retain a Talented and Diverse Workforce that Operates as a United Community

### **AUD-2023-002: Assessment of and Joint Report on the Implementation of the Cybersecurity Information Sharing Act of 2015; and**

### **AUD-2023-003: Audit of Office of the Director of National Intelligence Implementation of the Cybersecurity Information Sharing Act of 2015**

Under 6 U.S.C. § 1506(b), the Inspectors General of the Departments of Commerce, Defense, Energy, Homeland Security, Justice, and Treasury and the IC IG are required to jointly report to Congress on actions taken over the most recent two-year period to carry out the requirements of the Cybersecurity Information Sharing Act of 2015 (6 U.S.C. §§ 1501-1510).

The IC IG will provide a joint report to Congress on actions taken during calendar years 2021 and 2022 and a separate report to ODNI on the results of the audit. Specifically, the reports will address, among other things, the sufficiency of policies and procedures related to sharing cyber threat indicators within the Federal Government; proper classification of cyber threat indicators and defense measures; and barriers to sharing information about cyber threat indicators and defensive measures.

**FY 2022 IC Management and Performance Challenge(s):** Cybersecurity Controls

**FY 2023 ODNI Management and Performance Challenge(s):** Information Security and Management

**2023 National Intelligence Strategy Goal(s):** Deliver Interoperable and Innovative Solutions at Scale; Enhance Resilience

# AUDIT DIVISION

## ONGOING PROJECTS

### **AUD-2023-004: Fiscal Year 2023 Audit of the Office of the Director of National Intelligence's Financial Statements**

The IC IG contracted with an independent public accounting (IPA) firm to perform the FY 2023 financial statement audit. The objective is to provide an opinion on whether ODNI's financial statements are presented fairly, in all material respects, and in accordance with generally accepted accounting principles. The IC IG Audit Division is providing oversight to ensure the IPA performs in accordance with professional and auditing standards, OMB requirements, and the terms of the contract. The IPA firm is scheduled to issue its results in November 2023.

**FY 2022 IC Management and Performance Challenge(s):** Financial Management

**FY 2023 ODNI Management and Performance Challenge(s):** Financial Management

**2023 National Intelligence Strategy Goal(s):** N/A

### **RESEARCH PROJECT**

### **Research for the Audit of the Office of the Director of National Intelligence's Governance, Adoption, and Management of Artificial Intelligence**

The Audit Division is performing research that will lead to an audit, as required by section 6721 of the Intelligence Authorization Act for Fiscal Year 2023 (division F of Public Law 117–263). The Audit Division's research will determine which ODNI components currently use artificial intelligence (AI) or plan to use AI in the foreseeable future and to determine whether ODNI developed an AI program in accordance with the statutory requirements and applicable IC guidance.

**FY 2022 IC Management and Performance Challenge(s):** Emerging Technologies

**FY 2023 ODNI Management and Performance Challenge(s):** Emerging Technologies

**2023 National Intelligence Strategy Goal(s):** Position the IC for Intensifying Strategic Competition; Deliver Interoperable and Innovative Solutions at Scale



# Inspections and Evaluations Division

The Inspections and Evaluations (I&E) Division enhances the IC IG's ability to conduct oversight of programs and activities within the DNI's responsibility and authority outside of traditional audit and investigative disciplines. I&E performs systematic and independent inspections and evaluations of ODNI and IC elements and their components using tailored approaches for determining efficiency, effectiveness, and sustainability of agency operations, programs, or policies in accordance with CIGIE's *Quality Standards for Inspection and Evaluation* (Blue Book). I&E's multidisciplinary staff conduct expedited management and program evaluations and respond to priority issues of concern to the ODNI, the IC, Congress, and the public.

The division issues inspection, evaluation, and special review reports that contain evidence-based findings and recommendations to improve the efficiency and effectiveness of procedures and operations and to promote integration within the ODNI and across the IC.

# INSPECTIONS AND EVALUATIONS DIVISION



## COMPLETED PROJECTS

### **INS-2023-003: Inspection of the Office of the Director of National Intelligence’s Compliance with the Payment Integrity Information Act of 2019 for Fiscal Year 2022 (June 2023)**

Pursuant to direction set forth in 31 U.S.C. §§ 3351-3358 (commonly known as the Payment Integrity Information Act of 2019 or PIIA), the I&E Division completed an inspection to determine the ODNI’s compliance with PIIA for FY 2022. The inspection assessed the ODNI’s annual improper payment information included in its *Fiscal Year 2022 Agency Financial Report*. The IC IG determined ODNI is compliant with PIIA for FY 2022. In June, the IC IG provided a memorandum report summarizing the results of the inspection to the congressional intelligence committees and other appropriate congressional committees.

**FY 2022 IC Management and Performance Challenge(s):** Financial Management

**FY 2023 ODNI Management and Performance Challenge(s):** Financial Management

**2023 National Intelligence Strategy Goal(s):** N/A

### **INS-2023-005: Evaluation of the Intelligence Community Elements’ Use of Space Certified as a Sensitive Compartmented Information Facility in the Continental United States (June 2023)**

Pursuant to section 6607 of the Intelligence Authorization Act for Fiscal Year 2023 (division F of Public Law 117–263), the IC IG provided a memorandum to the congressional intelligence and appropriations committees summarizing the results of the evaluation on the utilization of space owned or sponsored by an IC element, located in the continental United States, that is certified as a sensitive compartmented information facility (SCIF) under IC or DoD policy to the congressional intelligence committees. The memorandum included data on the total number of IC element SCIFs, use of empty or unused SCIF space, SCIF occupancy rates, and the IC elements’ no-cost contracts with companies leasing SCIF space. The memorandum does not make any recommendations.

During the course of the evaluation, inspectors identified issues warranting additional analysis that could not be effectively reviewed within the congressionally directed 180-day timeline. A subsequent report with our findings will be issued to the appropriate congressional intelligence committees in the next semiannual reporting period.

*Additional details may be found in the Semiannual Report Classified Annex.*

**FY 2022 IC Management and Performance Challenge(s):** Policies and Procedures

**FY 2023 ODNI Management and Performance Challenge(s):** Policies and Procedures

**2023 National Intelligence Strategy Goal(s):** N/A

# INSPECTIONS AND EVALUATIONS DIVISION



## COMPLETED PROJECTS

### **INS-2023-006: Management Advisory Memorandum: Potential Risk Associated with Release of Polygraph Methods (September 2023)**

The I&E Division issued a Management Advisory Memorandum while conducting its Assessment of the Administration of Polygraphs in the Intelligence Community pursuant to section 6603 of the Intelligence Authorization Act for Fiscal Year 2023 (division F of Public Law 117–263). IC IG Management Advisory Memoranda inform management when, during the course of our work, an issue surfaces that may warrant immediate action to safeguard the health, welfare, safety, and security of personnel or that may pose increased risk to the ODNI or IC enterprise.

The I&E Division alerted the Senior Official Performing the Duties of the Director, National Counterintelligence and Security Center of a potential risk involving information security. The Management Advisory Memorandum did not include a recommendation but does require a formal written response with management actions taken.<sup>6</sup>

*Additional details may be found in the Semiannual Report Classified Annex.*

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**FY 2022 IC Management and Performance Challenge(s):** Policies and Procedures

**FY 2023 ODNI Management and Performance Challenge(s):** Policies and Procedures

**2023 National Intelligence Strategy Goal(s):** N/A

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<sup>6</sup> As the memorandum requires a formal written response with management actions taken, IC IG has included it as a single recommendation in its Recommendations Summary (p. 71) and Recommendations Table (p. 72) for tracking purposes.

# INSPECTIONS AND EVALUATIONS DIVISION

## ONGOING PROJECTS

### **INS-2022-003: Special Review of Intelligence Community Support to Screening and Vetting of Persons from Afghanistan**

The I&E Division, in partnership with the Defense Intelligence Agency OIG and in collaboration with the Department of Homeland Security OIG, is conducting a special review of the IC's support to the vetting of evacuees from Afghanistan. The IC IG anticipates issuing this report in the first quarter of FY 2024.

**FY 2022 IC Management and Performance Challenge(s):** Policies and Procedures

**FY 2023 ODNI Management and Performance Challenge(s):** Policies and Procedures

**2023 National Intelligence Strategy Goal(s):** N/A

### **INS-2022-005: Review of the Intelligence Community's Compliance with Analytic Tradecraft Standards**

The I&E Division is conducting a review of the IC analytic programs for compliance with analytic tradecraft standards. This evaluation will identify the IC elements with an analytic mission and determine whether those IC elements have a product evaluation program; and will assess the design and implementation of the programs to ensure compliance with analytic standards, including the ODNI IC-wide program of periodic review and evaluation of analytic products. The IC IG anticipates issuing this report in the first quarter of FY 2024.

**FY 2022 IC Management and Performance Challenge(s):** Policies and Procedures

**FY 2023 ODNI Management and Performance Challenge(s):** Policies and Procedures

**2023 National Intelligence Strategy Goal(s):** Position the IC for Intensifying Strategic Competition

# INSPECTIONS AND EVALUATIONS DIVISION

## ONGOING PROJECTS

### **INS-2023-004: Joint Evaluation of the Relationship between the National Security Agency and the United States Cyber Command**

Pursuant to the letter from the Permanent Select Committee on Intelligence of the House of Representatives and the Select Committee on Intelligence of the Senate dated April 11, 2022, the IC IG I&E Division, the DoD OIG and the National Security Agency (NSA) OIG will evaluate the relationship between the NSA and the United States Cyber Command. The IC IG, in coordination with the DoD OIG and the NSA OIG, will produce a capstone report that aggregates the final reports of the DoD OIG and the NSA OIG. The IC IG anticipates completing this review in the second quarter of FY 2024.

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**FY 2022 IC Management and Performance Challenge(s):** Information Sharing and Mission Integration within the IC; Policies and Procedures

**FY 2023 ODNI Management and Performance Challenge(s):** Policies and Procedures

**2023 National Intelligence Strategy Goal(s):** Diversify, Expand, and Strengthen Partnerships

### **INS-2023-005: Evaluation of the Intelligence Community Elements' Use of Space Certified as a Sensitive Compartmented Information Facility in the Continental United States (REPORT)**

Pursuant to section 6607 of the Intelligence Authorization Act for Fiscal Year 2023 (division F of Public Law 117-263), the I&E Division is conducting an evaluation on the utilization of space owned or sponsored by an IC element, located in the continental United States, that is certified as a SCIF under IC or DoD policy. In June 2023, the IC IG provided the appropriate congressional committees a memorandum in response to the congressionally directed action. A supplemental report will address issues identified during our evaluation that warranted additional analysis but could not be effectively reviewed within the congressionally directed 180-day timeframe. The IC IG anticipates issuing this report with our findings in the first quarter of FY 2024.

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**FY 2022 IC Management and Performance Challenge(s):** Policies and Procedures

**FY 2023 ODNI Management and Performance Challenge(s):** Policies and Procedures

**2023 National Intelligence Strategy Goal(s):** N/A



# INSPECTIONS AND EVALUATIONS DIVISION

## ONGOING PROJECTS

### **INS-2023-006: Assessment of the Administration of Polygraphs in the Intelligence Community**

Pursuant to section 6603 of the Intelligence Authorization Act for Fiscal Year 2023 (division F of Public Law 117–263), the I&E Division is conducting an assessment of the administration of polygraph evaluations that are needed in the IC to meet current annual personnel hiring requirements. Specifically, the assessment will: (1) identify the number of polygraph examiners currently available at each IC element to meet its polygraph requirements for annual personnel hiring and determine whether the demand can be met; (2) if the demand cannot be met, identify the number of polygraph examiners that would need to be hired and certified to meet the polygraph demand associated with annual personnel hiring; and (3) review the effectiveness of alternatives to the polygraph, including methods being researched by the Defense Counterintelligence and Security Agency’s National Center for Credibility Assessment. The IC IG anticipates issuing this report in the first quarter of FY 2024.

**FY 2022 IC Management and Performance Challenge(s):** Policies and Procedures

**FY 2023 ODNI Management and Performance Challenge(s):** Policies and Procedures

**2023 National Intelligence Strategy Goal(s):** N/A

### **INS-2023-007: Evaluation of ODNI’s Diversity, Equity, Inclusion, and Accessibility Programs**

The I&E Division is conducting an evaluation of ODNI’s diversity, equity, inclusion, and accessibility (DEIA) program. The evaluation will assess ODNI’s internal DEIA program, including the identification of ODNI-specific DEIA initiatives and performance measures used to evaluate program effectiveness. The team will review ODNI policies, plans, procedures, and strategies to ensure compliance with applicable laws and regulations, including federal laws, regulations, policies, and guidance. The IC IG anticipates completing this review in the second quarter of FY 2024.

**FY 2022 IC Management and Performance Challenge(s):** Policies and Procedures

**FY 2023 ODNI Management and Performance Challenge(s):** Policies and Procedures

**2023 National Intelligence Strategy Goal(s):** Recruit, Develop, and Retain a Talented and Diverse Workforce that Operates as a United Community

# Investigations Division

The Investigations Division conducts proactive and reactive criminal and administrative investigations, including those arising from complaints or information from any person concerning the existence of an activity within the authorities and responsibilities of the DNI constituting a violation of laws, rules, or regulations; or mismanagement, gross waste of funds, abuse of authority, or a substantial and specific danger to the public health and safety. The division also plays a principal role in tracking, monitoring, and investigating unauthorized disclosures of classified information. The division identifies and reports internal control weaknesses that could render ODNI or other IC programs and systems vulnerable to exploitation, or that could be used for illicit activity.

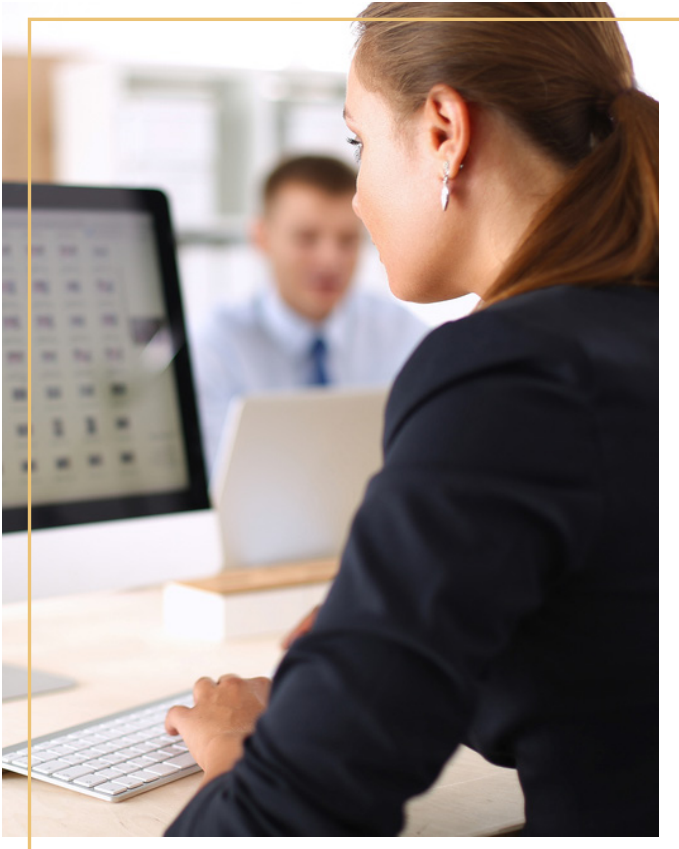
The Investigations Division's unique statutory authority to investigate programs and activities within the authorities and responsibilities of the DNI allows it to partner with and assist other OIGs conducting investigations concerning IC programs and activities. In addition, the Investigations Division can coordinate and assist with the prosecution of criminal matters arising from the other intelligence agencies, including the Central Intelligence Agency (CIA), Defense Intelligence Agency (DIA), National Geospatial-Intelligence Agency (NGA), National Reconnaissance Office (NRO), and National Security Agency (NSA).

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The IC IG's investigation activities conform to standards adopted by CIGIE.

# INVESTIGATIONS DIVISION

## Key Accomplishments



This reporting period, the Investigations Division participated in engagements across the federal government to enhance its investigative tradecraft and further IC IG's mission. In response to recommendations in a previously reported closed investigation related to IC Collaboration Platforms, the DNI signed Intelligence Community Standard (ICS) 500-35, *Implementing Frameworks Governing Appropriate Use of Intelligence Community Online Collaboration Platforms*, which provides guidance for implementing terms of use, standards of conduct, reporting mechanisms, accountability frameworks, and training standards governing the use of an Intelligence Community Collaboration Platform. ICS 500-35 also reinforces that conduct that is inappropriate or prohibited in the physical workplace is also inappropriate or prohibited in the virtual environment.

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Members of the Investigations Division collaborated with CIGIE's Cyber Security and Civil Cyber Fraud Working Groups and attended monthly meetings with IC, DoD, and industry partners related to cyber-based cases and relevant technical security initiatives. In addition to providing the opportunity to learn about and directly collaborate on cyber-based issues, the working group meetings allowed the Investigations Division to serve as an information hub and share knowledge with multiple internal and external mission partners.

# INVESTIGATIONS DIVISION

## Investigative Activity Overview

### JOINT INVESTIGATIONS

The Investigations Division participated in eight joint investigations during this reporting period. These involve potential offenses such as fraud, unauthorized disclosure, counterintelligence, intelligence oversight, procurement fraud, and contractor misconduct. Partners include IC OIGs, the Department of Homeland Security, the Federal Bureau of Investigation, other federal investigative agencies, the Department of Justice (DOJ) Public Integrity Section and Antitrust Division, and the United States Attorney's Office for the Eastern District of Virginia. The Investigations Division completed its support on two joint investigations and subsequently issued Reports of Investigations related to these matters. Due to the size, scope, and complexity of the remaining joint investigations, the division expects its investigative and support efforts to continue into the next reporting period.

### ONGOING & COMPLETED INVESTIGATIONS

The Investigations Division has 33 open investigations and has issued 9 investigative reports this reporting period. Based on the investigative findings, the IC IG made a series of targeted recommendations to ODNI senior leadership designed to mitigate risk associated with these deficiencies.



**33** OPEN  
INVESTIGATIONS

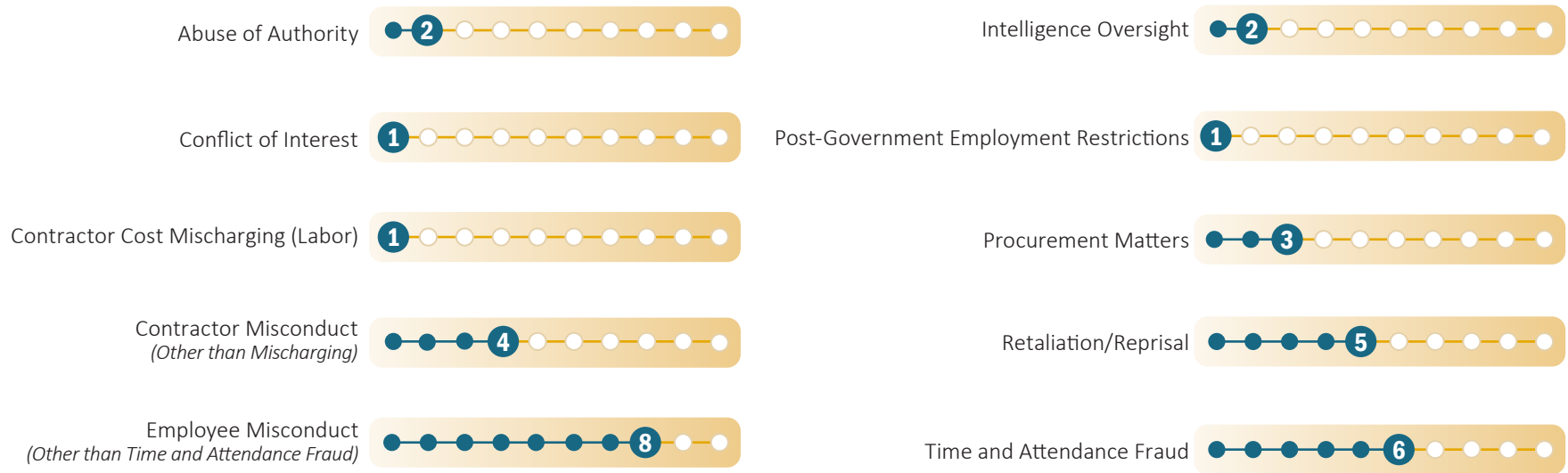


**9** INVESTIGATIVE  
REPORTS ISSUED

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The IC IG did not issue any subpoenas under its 50 U.S.C. § 3033(g)(5) authority during this reporting period.

# Open Investigations



**33 Total Open Investigations**

Source: Data contained in this report and table was obtained from the IC IG Case Management Tracking System.

# INVESTIGATIONS DIVISION



## S U M M A R I E S O F P U B L I S H E D R E P O R T S

### Reprisal

On September 18, 2023, the Investigations Division completed its Report of Investigation regarding allegations of reprisal. The complaint was received via an “urgent concern” submission through the Intelligence Community Whistleblower Protection Act process. Specifically, the Submitter alleged that in 2017, the Submitter made a protected disclosure to his or her supervisor about contractor personnel performing inherently governmental functions, in violation of Federal Acquisition Regulation 7.503. The Submitter further alleged that, as a result of the Submitter’s 2017 protected disclosure, three government employees reprised against the Submitter by alleging the Submitter committed time and attendance fraud.

The Submitter alleged that the filing of the retaliatory complaint initiated an IC IG investigation, which ultimately led to the convening of a Personnel Evaluation Board and the Submitter’s termination from the ODNI for substantiated findings of time and attendance fraud. Additionally, the Submitter asserted that the convening of a Personnel Evaluation Board to determine the Submitter’s eligibility for access to classified material and continued employment with the ODNI was reprisal for making the same 2017 protected disclosure.

The investigation did not substantiate the reprisal allegation. The investigation determined the Submitter made three protected disclosures, but failed to establish by the preponderance of the evidence that the Submitter was subjected to a personnel action prohibited under 50 U.S.C. § 3234.

# INVESTIGATIONS DIVISION



## S U M M A R I E S O F P U B L I S H E D R E P O R T S

### Reprisal and Other Allegations

On September 18, 2021, the Investigations Division completed its Report of Investigation involving allegations of a lack of impartiality, misuse of position, and reprisal in connection with the development of a project for ODNI. Specifically, the Submitter alleged that senior officials improperly influenced contract compliance and displayed a lack of impartiality based on a contract employee's alleged personal relationship with the Program Manager. The Submitter also asserted that the Submitter disclosed the contract company's alleged breach of contract and performance issues to his or her direct supervisory chain on several occasions. Subsequent to the disclosures, the Submitter alleged his or her performance appraisal was downgraded from outstanding to excellent and the Submitter was removed from management duties over the project, as reprisal for making the protected disclosure.

The investigation did not find sufficient evidence to substantiate violations of lack of impartiality, misuse of position, or reprisal in connection with the development of the ODNI project. For the reprisal allegations, the investigation determined the Submitter made a protected disclosure, but the Submitter failed to establish by the preponderance of the evidence that the Submitter was subjected to a personnel action prohibited under 50 U.S.C. § 3234. Even if the Submitter met the burden, the agency showed, by clear and convincing evidence, that it would have taken the same actions regardless of the protected disclosures.

# INVESTIGATIONS DIVISION



## S U M M A R I E S O F P U B L I S H E D R E P O R T S

### Qui Tam

On September 13, 2023, the Investigations Division completed its Report of Investigation regarding a qui tam action filed by a Relator formerly employed by Booz Allen Hamilton (BAH). The complaint was obtained from a partnering agency's OIG. The Relator alleged that BAH fraudulently charged the federal government for inflated costs associated with its commercial and international operations through "cost centers" or "cost bands" by submitting false claims for cost reimbursements under its government contracts, in violation of the False Claims Act, 31 U.S.C. §§ 3729-33. Additionally, the Relator alleged that BAH improperly allocated indirect costs associated with its commercial and international business to its government contracts and subcontracts that either had no relationship to those contracts and subcontracts or were allocated to those contracts and subcontracts in disproportionate amounts. As a result, BAH obtained reimbursement from the United States Government for the costs of commercial activities that provided no benefit to the government.

Based on the Relator's allegations, DOJ initiated parallel criminal and civil proceedings, to which the Investigations Division opened a joint investigation to provide support and assistance to DOJ, as requested. On September 13, 2023, the Investigations Division completed its support to the investigation wherein BAH agreed to pay the United States \$377,453,150 to resolve allegations that it violated the False Claims Act by improperly billing commercial and international costs to its government contracts. The settlement resolves allegations that from approximately 2011 to 2021, BAH improperly charged costs to its government contracts and subcontracts that instead should have been billed to its commercial and international contracts.



# INVESTIGATIONS DIVISION



## S U M M A R I E S O F P U B L I S H E D R E P O R T S

### Time and Attendance Fraud

On June 21, 2023, the Investigations Division completed its investigation into allegations of time and attendance fraud by an ODNI employee. Specifically, it was alleged that the employee charged the government for weekend hours career coaching from home, charged regular hours performing homework for a government-sponsored academic class, and charged weather and safety leave without supporting documentation. Preliminary analysis revealed 532.00 hours the employee potentially did not work or was not present at the assigned place of work.

The investigation did not develop sufficient information to suggest the employee engaged in time and attendance fraud. The employee was able to mitigate 480.25 of the 532.00 discrepant hours. The investigation determined the 480.25 hours were official hours the employee worked to complete training requirements. The employee was unable to provide evidence to adjudicate the remaining 51.75 discrepant hours. Because the remaining unaccounted time was below our threshold to sustain the allegation, the matter was referred to ODNI senior leadership for action.

# INVESTIGATIONS DIVISION



## SUMMARIES OF PUBLISHED REPORTS

### Employee Misconduct

On May 30, 2023, the Investigations Division completed its investigation regarding allegations of computer misuse. Specifically, it was alleged that an ODNI contractor employee engaged in misconduct by misusing government computers to search personnel security systems for personal information on government and contractor employees for the employee's own curiosity and to engage in office gossip. The complainant alleged that the contractor employee did not have authorization to conduct the searches and was not serving in an official capacity that required access to the security systems when the searches occurred.

The investigation substantiated that the contractor employee violated ODNI Instruction 80.02, *Managing Breaches of Personally Identifiable Information*, and other regulations governing personnel security information when the contractor employee searched and viewed the security profiles of prospective, current, and former ODNI employees and contractors from February 1, 2020, through June 7, 2021. During that period, the contractor employee maintained access to personnel security systems from a previous assignment, but was in a position that no longer required access to these systems. Our investigation revealed that the contractor employee searched the personnel security records of 159 different individuals over that period, with several individuals searched on multiple occasions. The contractor employee admitted that many of the searches were motivated by the contractor employee's own curiosity.

The investigative scope was expanded after several witnesses reported that the contractor employee was excessively absent from the workplace. Our investigation also substantiated that the contractor employee violated 31 U.S.C § 3729 (a)(1)(B), *False claims*, by submitting timesheets totaling 551 hours for which there was no substantiation that the contractor employee performed work. The total loss to the U.S. Government is approximately \$87,190. Finally, during the investigation, the contractor employee was found to be under the influence of alcohol while at work and subsequently was removed from the premises, and the contractor employee's security clearance was suspended. As a result of the investigation, IC IG made a series of narrowly tailored recommendations to address system-access and control-related issues. These recommendations are reflected in the classified annex of this report. ODNI's response to those recommendations is pending.

# INVESTIGATIONS DIVISION



## SUMMARIES OF PUBLISHED REPORTS

### Employee Misconduct

On June 13, 2023, the Investigations Division completed its investigation into allegations that an ODNI government employee used his or her position to get a contractor employee, with whom the government employee had a personal relationship, a higher position on an ODNI contract.

Our investigation did not develop sufficient information to suggest the government employee violated 5 C.F.R. § 2635.101(b)(7), *Basic obligation of public service*, which prohibits Executive Branch employees from using public office for private gain. Our investigation also did not develop sufficient information to suggest the employee violated 5 C.F.R. § 2635.101(b)(8), *Basic obligation of public service*, which requires Executive Branch employees to act impartially and not give preferential treatment to any private organization or individual. Pursuant to 5 C.F.R. § 2635.502, *Personal and business relationships*, Executive Branch employees are required to recuse themselves from matters likely to have an effect on financial interests of a member of their household or someone they are in a covered relationship with. It also requires recusal if a reasonable person would question the employee's impartiality. Our investigation did not develop sufficient information to suggest the government employee violated this section. Finally, our investigation did not develop sufficient information to suggest the government employee violated an applicable agency regulation governing ethics. Portions of this agency regulation relevant to this matter require employees to avoid financial conflicts of interest, lack of impartiality in performance of government duties, and the appearance of impartiality.

### Reprisal

On July 31, 2023, the Investigations Division completed its Report of Investigation of alleged reprisal by a senior ODNI management official. Specifically, the Submitter alleged the senior official reprimanded against another government employee by delaying the restaffing of contractor positions on the team, influencing other management officials to retract approval of the employee's proposed strategy for the division, blocking the employee's conversion from an acting to a permanent position, improperly extending the closing date of the vacancy announcement, and improperly influencing the selection panel to not select the employee for the position.

The investigation did not substantiate the reprisal allegations. IC IG determined the employee made at least four protected disclosures. IC IG, however, ultimately determined that the Submitter had failed to establish by the preponderance of the evidence that the Submitter was subjected to a personnel action prohibited under 50 U.S.C. § 3234.

# INVESTIGATIONS DIVISION



## S U M M A R I E S O F P U B L I S H E D R E P O R T S

### Conflict of Interest

On August 31, 2023, the Investigations Division completed its Report of Investigation into an alleged conflict of interest. Specifically, it was alleged that the Subject, as the program manager for an ODNI program, negotiated a transfer of approximately \$2,095,000 in government funds to a research laboratory prior to leaving employment at ODNI and going to work for an employer that contracts with the research laboratory. It was further alleged that the company received a portion of the \$2,095,000 in government funding.

The Investigations Division expanded the scope of the investigation after receiving information that the subject had reportedly attended calls regarding the program while working for his or her current employer. Based on this information, the Investigations Division analyzed whether the Subject violated post-government employment restrictions by continuing to participate in a particular matter in which the subject was permanently restricted.

Our investigation did not uncover evidence that the Subject violated 18 U.S.C. § 208, *Acts affecting a personal financial interest*, or 5 C.F.R. § 2635.402, *Disqualifying financial interests*, when the Subject negotiated the transfer of the program to the research laboratory before entering employment negotiations with their employer, in violation of 5 C.F.R. 2635, *Standards of ethical conduct for employees of the executive branch*.

Our investigation determined that while the Subject was assigned to ODNI in the official capacity as program manager, management directed the Subject to negotiate the details of the transfer of the program by a specific date. The investigation found no evidence that the Subject entered negotiations for employment prior to the Subject's last day of employment with ODNI. Therefore, the company's financial interest cannot be imputed to Subject while the Subject was negotiating the transfer of the program to the research laboratory.

Furthermore, the investigation did not identify any evidence that the transfer of the program from ODNI to the research laboratory had any direct or predictable effect on the financial interests of the employer. The Investigations Division did not find any evidence that the employer received ODNI funding that accompanied the transfer of program to a national research laboratory; instead, the funding went to the incumbent contractor. The investigation determined incumbent contract company and Subject's employer had separate contracts with the research laboratory that each predated the transfer of the program. Additionally, the investigation did not find any evidence of a business or financial relationship between the two.

Similarly, our investigation did not uncover evidence that the Subject violated 18 U.S.C. § 207, *Restrictions on former officers, employees, and elected officials of the executive and legislative branches*, when the Subject had minimal ongoing participation with the program after leaving government employment.

# INVESTIGATIONS DIVISION



## S U M M A R I E S O F P U B L I S H E D R E P O R T S

### Unauthorized Disclosure

The IC IG conducted a joint investigation with a partner law enforcement agency, into an alleged unauthorized disclosure of classified information. The partnering agency, as the lead investigating agency for this matter, substantiated that an ODNI government detail employee was responsible for mishandling classified information when the employee disseminated information to individuals without confirming their clearance levels. The IC IG provided support and assistance in this matter.

## Reporting of Unauthorized Public Disclosure of Classified Information

Under 50 U.S.C. § 3235, IC IG is required to submit to the congressional intelligence committees a semiannual report specifying the number of investigations IC IG opened regarding unauthorized public disclosure of classified information, the number of investigations IC IG completed regarding unauthorized public disclosure of classified information, and the number of completed investigations that IC IG referred to the Attorney General for criminal investigation.

In accordance with the statutory requirement, IC IG reports that during the period from April 1, 2023, to September 30, 2023, the IC IG completed one investigation of unauthorized public disclosure of classified information. The IC IG did not initiate or refer any unauthorized public disclosure of classified information investigations to the Attorney General for criminal investigation during the reporting period.<sup>6</sup>

In addition to tracking and mitigating potential unauthorized disclosures originating from within ODNI, the IC IG Unauthorized Disclosure Program (UDP) is involved in the continuous tracking of all unauthorized disclosure incidents our IC mission partners report to the IC IG. The IC IG UDP engages in outreach and collaboration with ODNI's IC mission partners and tracks all reported unauthorized disclosure issues in a dedicated database. The IC IG UDP is responsible for tracking all reported unauthorized disclosure issues through their originating organization's closure and through DOJ investigation. IC IG UDP's collaboration with the National Counterintelligence and Security Center and other IC mission partners has led to the successful closure of numerous previously reported unauthorized disclosures. IC IG UDP's regular engagements with its partners have also improved the reporting of unauthorized disclosures across the IC. Reporting from some IC elements, however, has been inconsistent, which has raised concerns about possible underreporting of unauthorized disclosures to IC IG.

IC IG continues to engage with IC elements to ensure full compliance with reporting requirements established in Intelligence Community Directive 701, *Unauthorized Disclosures of Classified Information* (ICD 701). To achieve this objective, IC IG initiated the ICD 701 Unauthorized Disclosure Task Force during this reporting period. The Task Force's goal is to improve the IC's collective ability to identify, track, report, and investigate unauthorized disclosures across the community.

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<sup>6</sup> The IC IG coordinated with appropriate law enforcement entities at the conclusion of its unauthorized disclosure investigation (August 2023) p. 37.

# Mission Support Division

The Mission Support Division (MSD) provides management and administrative support to the IC IG. MSD comprises multidisciplinary officers with expertise in financial management, human capital and talent management, facilities and logistics management, continuity of operations, administration, classification reviews, Freedom of Information Act (FOIA) and Privacy Act requests, information technology, communications, and quality assurance. MSD also delivers executive support to the Intelligence Community Inspectors General Forum (the Forum) and its committees.

MSD provides a range of functional support, including strategy development, strategy performance oversight, internal management and alignment of resources to IC IG goals and priorities, implementation of cross-cutting business processes, management of support to the Forum, budget, personnel, contracts, security, information technology, facilities, logistics, quality assurance, information management, classification, FOIA operations, continuity of operations, and emergency preparedness. Additionally, MSD supports human capital and communications activities, including shaping and executing the office's human capital strategy, initiatives, and tactical plan, as well as all IC IG outreach activities, such as media engagements, strategic communications, corporate identity and brand management, and visual communications.

# SPECIAL PROJECTS

## INTELLIGENCE COMMUNITY INSPECTORS GENERAL CONFERENCE AND AWARDS PROGRAM

MSD coordinated the IC IG-sponsored 2023 Intelligence Community Inspectors General Conference, chaired by the Inspector General of the Intelligence Community, from April 12 to 13, 2023, as well as the Intelligence Community Inspectors General National Intelligence Professional Awards Ceremony on April 13.

The IC IG held the 2023 Intelligence Community Inspectors General Conference at the National Geospatial-Intelligence Agency Conference Center. It marked the first multi-day and the first hybrid conference hosted by IC IG. By combining in-person sessions with live streaming, IC IG connected with IC OIG counterparts, as well as Inspector General professionals, reaching 625 people representing 12 IC entities and 11 non-IC agencies from across the United States. Attendees, speakers, moderators, and panel members represented the Forum and the broader Inspector General community. Speakers also represented the CIGIE, DOJ, OMB, and the Senate Select Committee on Intelligence.

The theme of this year's conference, "Independence," focused on the importance of this Inspector General core value from multiple leadership perspectives. Conference highlights included leadership perspective sessions featuring the DNI, the CIGIE Chairperson, DOJ leadership, and the Acting Controller from OMB. An "IG Roundtable" consisted of Inspector General panelists from the Central Intelligence Agency, Department of Defense, Department of State, and National Geospatial-Intelligence Agency. Other sessions covered the pertinent topics of maintaining resilience as an independent Inspector General office, independence and the legislative landscape, the path to resource independence, challenges in accessing data, and supply chain management.



Inspectors General from CIA, DoD, the Department of State, and NGA join the Inspector General of the Intelligence Community at the 2023 conference "IG Roundtable."



# Conference Feedback

## Positive Feedback

IC IG received positive feedback from conference attendees. Survey responses showed that 94 percent of attendees rated the event “good” or “excellent,” and 93 percent would be likely or highly likely to recommend the event to others. Attendees appreciated the level of expertise and knowledge of the presenters, as well as the speakers’ positive attitudes and willingness to explain concepts. Many attendees shared that the conference inspired them and renewed their purpose.

“The conference renewed my faith in Government and the Public Servants tasked with carrying out its mission. From the opening remarks to the last session, I felt that the conference made a concerted effort to humanize the speakers and the work that they do to benefit the people. I am grateful to be a part of an IG [inspector general] Community whose leaders have a heart for the people and doing what is right.”

- Conference Attendee -



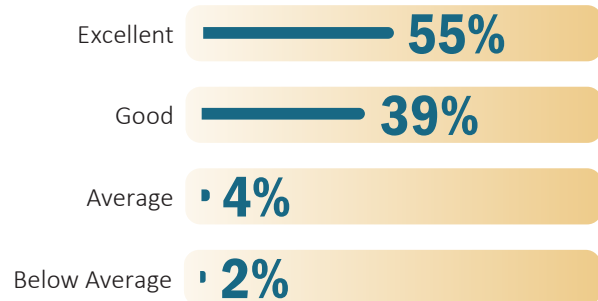
### PARTICIPANT RATING

**94%** of attendees rated the event “good” or “excellent.”

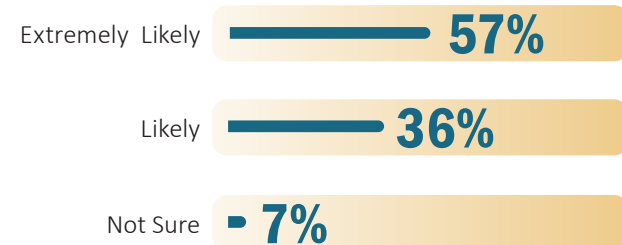
**93%** of attendees would be **likely** or **highly likely** to recommend the event to others.

## 2023 IC IG CONFERENCE - SURVEY FEEDBACK

### How would you rate the conference overall?



### How likely is it that you would recommend this conference to others for whom it would be of interest?



## IC INSPECTORS GENERAL NATIONAL INTELLIGENCE PROFESSIONAL AWARDS CEREMONY

The Intelligence Community Inspectors General National Intelligence Professional Awards Ceremony recognized award winners from FY 2022 for their accomplishments and extraordinary contributions to the mission and objectives set forth in the 2019 National Intelligence Strategy, as well as to the missions of their respective IC OIGs. The ceremony acknowledged individuals and teams in seven award categories: Lifetime Achievement, Leadership, Inspections, Audit, Investigations, Collaboration, and Intelligence Community-Wide Mission Impact.

The IC IG, in collaboration with the Forum, has begun planning next year's Intelligence Community Inspectors General Conference and Awards Program, scheduled for May 6 through 7, 2024.



Host Tamara Johnson, Principal Deputy Inspector General of the Intelligence Community, recognizes award recipients.



## DIVERSITY, EQUITY, INCLUSION, AND ACCESSIBILITY INITIATIVES

### LGBTQ+ Ally Training

MSD coordinated with ODNI's IMPACT Group to host three LGBTQ+ Ally training sessions for the IC IG workforce. The training events focused on the business case for inclusion and how it enables the IC mission, and addressed specific workforce problems for LGBTQ+ employees.

### Lunch with Leadership

Several times per year, MSD sponsors "Lunch with Leadership" professional development opportunities for the IC IG workforce, where leaders from across the ODNI and IC share professional experiences, challenges, and successes.

- The Acting Chief of ODNI's Diversity and Inclusion Group shared his efforts to revamp ODNI's promotion process and DEIA initiatives.
- The Director of the National Counterterrorism Center (NCTC) discussed her experience leading NCTC and shared her perspectives and experiences as a leader within the IC.

### Asian American and Pacific Islander Heritage Month

IC IG honored Asian American and Pacific Islander Heritage Month by hosting a social and educational event, planned and led by MSD, to recognize the contributions and influence of Asian Americans and Pacific Islanders to the history, culture, and achievement of the United States.

### IC OIG Joint Duty Pilot Initiative

MSD supported the pilot IC OIG Joint Duty Initiative launched in May 2023. This pilot is the result of a two-year effort by the Forum's Deputies Committee to establish project-based, short-term opportunities within the IC OIG community. The IC IG, as well as other OIGs from DIA, NGA, NRO, and NSA participates in the program. The 90- to 180-day short-term rotational assignment facilitates IC OIG officers' growth and development and provides a career-broadening experience.

# Center for Protected Disclosures

The IC IG's Center for Protected Disclosures (the Center) processes whistleblower disclosures and complaints and provides guidance to individuals about the options and protections afforded to those who wish to make protected disclosures to the IC IG and/or Congress, or who believe they suffered reprisal because they made a protected disclosure.



Whistleblowing is the lawful disclosure to an authorized recipient of information a person reasonably believes evidences wrongdoing. It is the mechanism to relay the right information to the right people to counter wrongdoing and promote the proper, effective, and efficient performance of the Intelligence Community's mission. Whistleblowing in the Intelligence Community is extremely important as it ensures that personnel can "say something" when they "see something" through formal reporting procedures without harming national security and without retaliation.

# The Center for Protected Disclosures performs four critical functions for whistleblowers in the Intelligence Community

## 1

The Center, through the IC IG Hotline program, receives and processes whistleblower complaints of fraud, waste, abuse, or mismanagement of programs and activities within the responsibility of the DNI. There are six ways for individuals to report their concerns to the IC IG Hotline: (1) public and secure telephone numbers; (2) public and secure websites; (3) walk-in meetings at the IC IG’s offices; (4) USPS mail; (5) fax; and (6) drop boxes in ODNI facilities.



## CPD CRITICAL FUNCTIONS

### 2

The Center, through the ICIG Hotline program, receives and processes allegations of “urgent concerns” pursuant to 50 U.S.C. § 3033(k)(5) (commonly known as the Intelligence Community Whistleblower Protection Act or ICWPA). The ICWPA established a process to ensure that the DNI and congressional intelligence committees receive disclosures regarding certain types of wrongdoing, including serious or flagrant problems, abuses, violations of law or Executive Order, or deficiencies relating to the funding, administration, or operation of an intelligence activity.

To submit an “urgent concern” to the IC IG, the law requires that a submitter be “[a]n employee of an element of the intelligence community, an employee assigned or detailed to an element of the intelligence community, or an employee of a contractor to the intelligence community.”<sup>7</sup> The ICWPA also requires that a submitter provide a complaint or information with respect to an “urgent concern,” which is defined as any of the following:

A serious or flagrant problem, abuse, violation of law or Executive order, or deficiency relating to the funding, administration, or operation of an intelligence activity of the Federal Government that is a matter of national security, and not a difference of opinion concerning public policy matters.

A false statement to Congress, or a willful withholding from Congress, on an issue of material fact relating to the funding, administration, or operation of an intelligence activity.

An action, including a personnel action described in 5 U.S.C. § 2302(a)(2)(A) constituting reprisal or threat of reprisal prohibited under 50 U.S.C. § 3033(g)(3)(B) in response to an employee’s reporting an “urgent concern” in accordance with this paragraph.<sup>8</sup>

If the IC IG determines that the complaint falls within the jurisdiction of the ICWPA, then the IC IG must, within 14 calendar days, determine whether the “urgent concern” allegation “appear[s] credible.” The Center tracks all ICWPA disclosures, ensures review of materials for classified information, and coordinates disclosures with other OIGs for appropriate review and disposition.

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<sup>7</sup> 50 U.S.C. § 3033(k)(5)(A).

<sup>8</sup> 50 U.S.C. § 3033 (k)(5)(G)(i)(I-III).

## CPD CRITICAL FUNCTIONS

### 3

The Center adjudicates IC employee and contractor requests for the IC IG to review their allegations of reprisal under Presidential Policy Directive-19 (PPD-19), *Protecting Whistleblowers with Access to Classified Information*, and 50 U.S.C. §§ 3234 and 3341(j). These authorities prohibit acts of reprisal against employees and contractors serving in the IC, as well as those who are eligible for access to classified information, who make protected disclosures.

The Center also reviews other IC OIGs' determinations regarding whistleblower reprisal allegations and non-IC OIGs' determinations regarding security clearances that are alleged to be in reprisal for making a protected disclosure. A whistleblower who has exhausted his or her home agency's whistleblower protection processes may request an external review panel (ERP). Under appropriate circumstances, the IC IG may convene an ERP and review the matter.

### 4

The Center conducts outreach and training across the IC to ensure stakeholders have accurate and consistent whistleblowing information relating to these and other matters. The Center provides guidance to personnel seeking more information about the options and protections afforded to individuals who may wish to make a protected disclosure to the IC IG and/or Congress, or who believe they have suffered reprisal because they made a protected disclosure.

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# CENTER FOR PROTECTED DISCLOSURES

## ACTIVITIES THIS REPORTING PERIOD

The Center routinely engaged with other OIGs to collaborate on a wide range of topics, including specific complaints, document requests, information sharing, and information technology.

The Center received whistleblower disclosures, made referrals to other divisions and agencies, reviewed reports of “urgent concern,” and evaluated requests for ERPs.

The Center submitted to Congress two quarterly reports detailing the number, nature, and trends of complaints the IC IG Hotline processed in the second and third quarters of FY 2023. These reports are part of an ongoing series of Hotline reports pursuant to the classified annex accompanying the Intelligence Authorization Act for Fiscal Year 2021 (division W of Public Law 116–260). The IC IG Hotline considers a “complaint” any contact in which an individual reports to the Hotline an allegation or information that potentially concerns a program or activity within the responsibility and authority of the Director of National Intelligence. The IC IG’s *Semiannual Report to Congress* includes information on all new “contacts” logged during the reporting period.<sup>9</sup>



The Center, with the support of IC IG cadre, hosted two outreach events at ODNI’s Liberty Crossing and Intelligence Community Campus–Bethesda. On July 26, 2023, the IC IG celebrated Whistleblower Appreciation Day. The ODNI Chief Operating Officer joined Inspector General Monheim to emphasize the importance of a strong whistleblowing program to promote government accountability. IC IG also recognized National Compliance Officer Day on September 27, 2023, at both locations. These events elevate the IC IG’s accessibility and visibility and provide opportunities for the IC IG to engage with the workforce, hear and answer questions, and offer general information about the IC IG and the services it provides to the Intelligence Community.

<sup>9</sup> A contact includes “complaints,” as defined above, and other matters received through the Hotline, such as suitability checks, requests for information, and other non-substantive, commercial, or frivolous contacts.





## CPD ACTIVITIES

During this reporting period, the Center received and processed 11 “urgent concern” allegations. Two of those matters were closed after IC IG determined that the Submitters did not intend to report matters of “urgent concern” under the ICWPA statute. Two matters remain open but are being held in abeyance at the request of the Submitter so that the Submitter may obtain and provide additional information to the IC IG. Of the remaining seven matters, the IC IG determined that four of the submissions failed to establish the minimum urgency and credibility requirements for reporting under 50 U.S.C. § 3033(k)(5) and did not warrant reporting under other authorities. Two of the remaining matters met the urgency and credibility requirements, and the IC IG forwarded the matters to the DNI and congressional intelligence committees within the 14-day period required by statute.<sup>10</sup> The IC IG determined that the one remaining matter, if true, would meet the statutory definition of urgent; however, the IC IG determined that the allegation did not appear credible. While the matter was not required to be forwarded to the DNI under the ICWPA provisions, the IC IG elected to forward the matter to the DNI as a matter of discretion in order to keep the DNI fully and correctly informed. In this last matter, the Submitter requested the IC IG forward the complaint to the congressional committees under the provisions of 50 U.S.C. 3033(k)(5)(D)(ii)(I-II). Consequently, IC IG provided the Submitter’s complaint to the congressional intelligence committees on the Submitter’s behalf.

The Center participated in the 2023 Intelligence Community Inspectors General Conference, in support of the IC IG’s strategic goal to “enhance collaboration, coordination, and communication among Intelligence Community Offices of Inspector General, the Director of National Intelligence, Congress, and our partners and stakeholders.” The Center, through the IC IG Hotline program, managed an informational table during the event to expand the IC IG’s opportunity to interact with IC OIG professionals, exchange information, and develop professional contacts furthering the IC IGs strategic goals.

As part of IC IG’s continuing engagement with its community partners, on August 30, 2023, the Director, Center for Protected Disclosures presented a class on whistleblower matters through CIGIE’s New Manager Training course. The Center Director took the opportunity to engage with Inspector General professionals from across the federal government and looks forward to continuing this work in future offerings.

<sup>10</sup> While the DNI is statutorily responsible for forwarding ICWPA matters to the congressional intelligence committees, IC IG often forwards them to the committees on the DNI’s behalf as a courtesy.

## External Review Panel Requests

Under 50 U.S.C. § 3236, individuals alleging being subjected to certain prohibited personnel practices may request the IC IG to convene an ERP to review their claim if they have otherwise exhausted the review process for that claim. The Center for Protected Disclosures received 12 new ERP requests during the reporting period<sup>11</sup> and closed 2 requests. The Center conducts an initial assessment and review of materials submitted by both the complainant and the complainant's employing agency prior to reaching a determination. In total, the Center has 22 ERP requests in various process stages. Thirteen of those requests are undergoing initial assessment by IC IG. Six requests are pending evidence production by the employing agency and three ERP requests are being held in abeyance by IC IG pending receipt of evidence files from the requestor. During this period, there were no ERP determinations issued nor prior panel recommendations awaiting responses from the heads of agencies.

<sup>11</sup> Specific reporting required under 50 U.S.C. § 3236(e).

**12** • NEW ERP REQUESTS

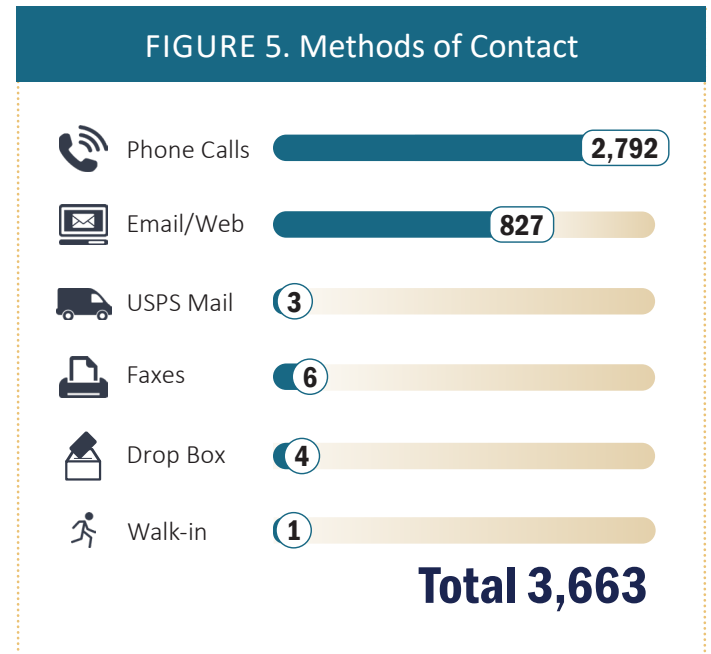
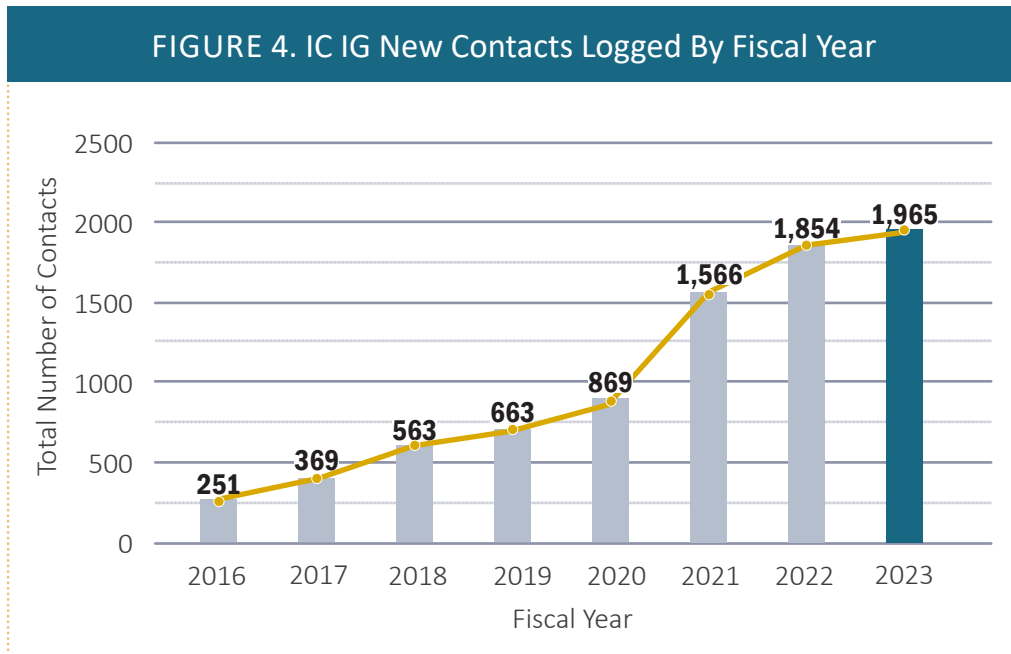


**2** • CLOSED ERP REQUESTS



# IC IG Hotline Metrics: APRIL 1, 2023 - SEPTEMBER 30, 2023

The IC IG Hotline provides a confidential means for Intelligence Community employees, contractors, and the public to report information concerning suspected fraud, waste, and abuse of programs and activities within the responsibility and authority of the Director of National Intelligence. The Hotline can be contacted via classified and unclassified email and phone lines, USPS mail, secure web submissions, walk-ins, and drop boxes located in select ODNI facilities.



**11** "URGENT CONCERNS" INITIATED DURING THIS REPORTING PERIOD



**12** EXTERNAL REVIEW PANELS INITIATED DURING THIS REPORTING PERIOD



OPEN: 855-731-3260  
 OPEN: WWW.DNI.GOV/ICIG

# Counsel to the Inspector General

The IC IG Counsel Team ensures that the Inspector General and other members of IC IG receive independent, confidential legal advice and policy counsel.

The Counsel Team's legal support and guidance meet the unique needs of each IC IG division. To support the Investigations Division, the Counsel Team, among other things, highlights and provides advice on potential legal issues that may require additional or redirected investigative efforts throughout the investigative process. To support the activities of the Audit Division and Inspections and Evaluations Division, the Counsel Team identifies and interprets key policy, contract, and legal provisions relevant to reported observations, findings, and recommendations. In support of IC IG's whistleblower program, the Counsel Team assists the Center for Protected Disclosures in developing policies and procedures, evaluating whistleblower disclosures, and providing legal advice for external review panels. The Counsel Team also provides enterprise-wide legal and policy guidance and reviews matters related to IC IG personnel, administration, training, ethics, independence, and budgetary functions. Attorneys from the Counsel Team also participate in the Intelligence Community Inspectors General Forum, the Forum's Counsels Committee, CIGIE's Legislative and Counsels Committees, and working groups of the Five Eyes Intelligence Oversight and Review Council.

The Counsel Team also coordinated with ODNI components to establish and enhance IC IG personnel policies that reflect IC IG's core values and which comply with, and more fully implement, the Inspector General's statutory personnel authorities.

To support IC IG, the Counsel Team also assisted with responses to requests for information and other inquiries from other Inspector General offices related to projects broadly relevant to IC oversight.

In addition to its legal support role, the IC IG's Legislative Counsel serves as the IC IG's congressional liaison.

## REQUESTS AND INQUIRES

- During this reporting period, the IC IG responded to a variety of requests and inquiries from Congress and congressional staff to address questions regarding pending legislation; proposed or completed IC IG audits, reviews, and inspections; and the resources required to meet the IC IG's statutory responsibilities. The Counsel Team also evaluated and facilitated communications with Congress regarding complaints made pursuant to the ICWPA.
- The IC IG also responded to requests for information and other inquiries from the U.S. Government Accountability Office.





## PARTNERSHIPS AND ENGAGEMENTS

CONGRESSIONAL ENGAGEMENT

IC IG MANAGEMENT ADVISORY COMMITTEE

IC INSPECTORS GENERAL FORUM

PEER REVIEWS

FIVE EYES INTELLIGENCE

OVERSIGHT AND REVIEW COUNCIL

THE INSPECTOR GENERAL COMMUNITY



## CONGRESSIONAL ENGAGEMENT

During this reporting period, the IC IG participated in bipartisan and bicameral engagements with Congress. For example, IC IG provided a briefing to each of the congressional intelligence committees on the IC IG assessment of the administration of polygraphs in the IC pursuant to section 6603 of the Intelligence Authorization Act for Fiscal Year 2023 (division F of Public Law 117–263). Additionally, IC IG, both directly and in coordination with the Forum’s Counsels Committee, informed Congress of various matters affecting IC IG and the broader IC OIG community, including with respect to Inspector General independence and ensuring the IC OIGs have sufficient resources to enable appropriate oversight.

# IC IG Management Advisory Committee

## WORKFORCE INITIATIVES

The IC IG Management Advisory Committee (MAC) is an employee-driven committee that fosters communication between IC IG leadership and the workforce. The MAC's mission is to advance IC IG's core values, promote employee engagement, and enhance the workplace environment. The committee meets monthly to consider opportunities to increase employee engagement, guide process improvement and office innovation, and strengthen IC IG's ability to efficiently and effectively achieve its mission. The MAC provides IC IG leadership with recommendations to address workforce-identified issues and assists IC IG leadership in communicating, planning, and carrying out initiatives resulting from MAC initiatives and recommendations.

During this reporting period, the MAC held two forums to introduce the pilot IC OIG Joint Duty Initiative and to create opportunity for the workforce to engage with IC IG leadership and learn the perspectives of all IC IG's divisions. The MAC participated in the drafting of certain IC IG personnel policies and hosted a "Table Talk" series with the Inspector General and Principal Deputy Inspector General to promote employee engagement. The MAC also led a session at the 2023 Intelligence Community Inspectors General Conference. This reporting period, the MAC increased committee membership, issued an IC IG newsletter to foster workplace community, and presented MAC Certificates of Appreciation to staff who demonstrate IC IG's core values in support of the committee and workforce.





# Intelligence Community Inspectors General Forum

One of the most significant ways the Inspector General of the Intelligence Community works to improve integration of the IC is through the Intelligence Community Inspectors General Forum (the Forum). Pursuant to 50 U.S.C. § 3033(h)(2), the Forum consists of statutory or administrative Inspectors General with oversight responsibility for an element of the IC. The Inspector General of the Intelligence Community is the Chair of the Forum.

Through the Forum, members can learn about the work of individual members that may be of common interest and discuss matters related to jurisdiction or access to information and staff. As Chair, the Inspector General leads the Forum by coordinating efforts to find joint solutions to mutual challenges for improved integration among the Forum members. Forum committees, topic-specific working groups, and subject matter experts generate ideas to address shared concerns and mutual challenges for consideration and decision by the Inspectors General.



Office of the Inspector General of the Intelligence Community



Central Intelligence Agency  
Office of Inspector General



Defense Intelligence Agency  
Office of the Inspector General



Department of Defense  
Office of Inspector General



Department of Energy  
Office of Inspector General



Department of Homeland Security  
Office of Inspector General



Department of Justice  
Office of the Inspector General



Department of State  
Office of Inspector General



Department of the Treasury  
Office of Inspector General



National Geospatial-Intelligence Agency  
Office of the Inspector General



National Reconnaissance Office  
Office of Inspector General



National Security Agency  
Office of the Inspector General

## MEETING SUMMARY

## The Forum

The Intelligence Community Inspectors General Forum held quarterly meetings in May and August 2023. The May session included a briefing from the U.S. Government Accountability Office's Defense Capabilities and Management Group on its completed and planned work. Additionally, the Inspectors General shared their reflections on the 2022 Intelligence Community Inspectors General Annual Conference and Awards Ceremony. The Forum also received an update from IC IG officials on efforts to implement section 5334 of the Damon Paul Nelson and Matthew Young Pollard Intelligence Authorization Act for Fiscal Years 2018, 2019, and 2020 (division E of Public Law 116-92; 50 U.S.C. § 3033 note), *Oversight by Inspector General of the Intelligence Community Over Intelligence Community Whistleblower Matters*. Section 5334 directs the IC IG, in consultation with the Forum, to establish a system whereby the IC IG is notified of: (1) submission of complaints by whistleblowers to Inspectors General of elements of the Intelligence Community relating to the programs and activities under the jurisdiction of the Director of National Intelligence; and (2) actions taken by an Inspector General of an element of the Intelligence Community relating to such complaints. Section 5334 further directs that the IC IG-established system may not be implemented until the IC IG, in consultation with the Forum, has developed and released to each of the Inspectors General of the elements of the Intelligence Community written policies regarding implementation.

The Forum assembled in August to discuss FY 2024 work planning and the status of project selections within each office. The IC IG's Counsel Team also provided the Forum with a legislative update, and facilitated a discussion on the Forum's Counsels Committee's memorandum to the congressional intelligence committees offering views on H.R. 3932 and S. 2103, both titled the FY 2024 Intelligence Authorization Act. Forum members also discussed their congressional engagement strategies and best practices. IC IG's Assistant Inspector General for Investigations gave an overview of the Forum's new Unauthorized Disclosures Working Group. Lastly, the Forum members discussed the agenda for the upcoming 2023 annual meeting of the Five Eyes Intelligence Oversight and Review Council in September.

In July 2023, the IC IG issued IC IG Standard Operating Directive 2023-001, *Oversight by Inspector General of the Intelligence Community Over Intelligence Community Whistleblower Matters*, which is the written policy that IC IG developed in consultation with the Forum to govern implementation of the above-described section 5334. Subsequently, IC IG and its Forum partners began implementation of the section 5334 notification system. IC IG will use reported information to identify matters that, in the judgment of the Inspector General of the Intelligence Community, might be the subject of an investigation, inspection, audit, or review by the IC IG.



The next Forum meeting is scheduled for December 2023.

## MEETING SUMMARY

## Deputies Committee

The Deputies Committee, led by the Principal Deputy Inspector General, met twice during the reporting period. In May 2023, the Department of Homeland Security provided an overview of its dashboard for tracking oversight projects within its OIG. The Deputies also received updates from the Forum's Audit Committee and Resource Independence Working Group, as well as an update from the National Reconnaissance Office on the status of the Forum's pilot IC OIG Joint Duty Initiative, launched in May 2023, which allows OIG officers the opportunity to support project-based joint duty assignments. Lastly, the Deputies were briefed on Forum efforts to implement section 5334 of the Intelligence Authorization Act for Fiscal Year 2022, *Oversight by Inspector General of the Intelligence Community Over Intelligence Community Whistleblower Matters*, and shared their reflections of the 2022 Intelligence Community Inspectors General Annual Conference and Awards Ceremony.

The Deputies Committee convened again in August 2023. The IC IG's Assistant Inspector General for Mission Support shared highlights from discussions within the Management and Administration Committee on joint recruiting efforts to increase staffing fill rates across the IC OIGs, and the IC IG's Assistant Inspector General for Investigations provided the Deputies with an overview of the Forum's new Unauthorized Disclosures Working Group. CIGIE's Pandemic Response and Accountability Committee briefed the Deputies on its approach to agile oversight. The Deputies also discussed possible changes to the scope and approach of the IC IG's capstone report on the IC's top management and performance challenges. Lastly, the Deputies shared their approaches to annual work planning and project selection, and agreed to follow-on conversations on work planning to identify potential opportunities for joint work.



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The next Deputies Committee meeting is scheduled for November 2023.

## THE FORUM COMMITTEES, SUBCOMMITTEES, AND WORKING GROUPS



## AUDIT COMMITTEE

The Forum's Audit Committee held quarterly meetings to discuss multiple topics of interest. At the June 2023 virtual meeting, members received a briefing from the Pandemic Response Accountability Committee (PRAC) on agile oversight. Briefers provided an overview of agile oversight, specifically how to get started using the PRAC agile toolkit, and how to apply agile oversight while maintaining U.S. Government Accountability Office Yellow Book standards. At the September 2023 virtual meeting, members received an informative brief on generative AI, and ChatGPT, a specific example of software that implements generative AI.

## ARTIFICIAL INTELLIGENCE WORKING GROUP

In August 2023, the Audit Committee established an AI Working Group. The first working group meeting included participation from 12 other OIGs to collaborate and share best practices and lessons learned as the OIGs perform audits of AI in accordance with the Intelligence Authorization Act for Fiscal Year 2023. The working group will meet monthly until the AI-related audits are completed, currently anticipated for December 2024.



The next Forum Audit Committee quarterly meeting is scheduled for December 2023.

## THE FORUM COMMITTEES, SUBCOMMITTEES, AND WORKING GROUPS



### INSPECTIONS COMMITTEE

The Forum’s Inspections Committee is chaired by the IC IG’s Assistant Inspector General for Inspections and Evaluations, and the Department of Energy’s Assistant Inspector General for Inspections serves as the Vice Chair. The committee met in September 2023 to discuss ongoing projects, opportunities for future joint or concurrent work, best practices, and lessons learned. In addition, the IC IG Counsel to the Inspector General briefed the group on Counsel Committee activities and provided insight into the “Views Memo”<sup>12</sup> reported to Congress. The agenda also included an additional discussion related to Inspections Committee goals for FY 2024, and the Chair provided an update on the IC OIG Peer Review Program.

During this reporting period, Inspections Committee members made decisions related to the two working groups established by the committee. Amendments to the Damon Paul Nelson and Matthew Young Pollard Intelligence Authorization Act for Fiscal Years 2018, 2019, and 2020 (division E of Public Law 116-92) modified the requirement for IC OIGs to conduct agency classification reviews. As such, the Inspections Committee paused the Classification Review Working Group and will consider reestablishing it at a later date. Additionally, as a result of changes to the congressional requirement for OIGs to conduct reviews of agency Enhance Personnel Security Programs, the Inspections Committee decided to sunset the Enhanced Personnel Security Program Working Group.



The next Forum Inspections Committee quarterly meeting is scheduled for December 2023.

<sup>12</sup> The Views Memo, transmitted on August 31, 2023, presents views and comments from the Counsel’s Committee for consideration by the Senate Select Committee on Intelligence and House Permanent Select Committee on Intelligence, as the committees work to advance S 2103 RS and H.R. 3932 RH, both titled IAA for FY 2024.

## THE FORUM COMMITTEES, SUBCOMMITTEES, AND WORKING GROUPS



## INVESTIGATIONS COMMITTEE

The Forum's Investigations Committee met twice during this reporting period. At its June meeting, the committee announced the creation of the ICD 701 Unauthorized Disclosure Task Force. The ICD 701 Program Manager will chair the Task Force, which includes dedicated representatives from all Forum members. The Task Force held its kickoff meeting on September 21, 2023, and will meet bi-monthly.

During its second engagement in September, the Investigations Committee hosted the Assistant Director, Defense Criminal Intelligence Service (DCIS), Deputy Assistant Inspector General for Investigations, who briefed the committee on the DCIS mission and current trends and priorities. The committee continued discussions on IC peer reviews and lessons learned. The committee also discussed contractor reprisal, Garrity practices, and other administrative matters.



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The next Investigations Committee quarterly meeting is scheduled for December 2023.

## THE FORUM COMMITTEES, SUBCOMMITTEES, AND WORKING GROUPS



### COUNSELS COMMITTEE

The Forum's Counsels Committee meets regularly to discuss legal and policy issues of common interest to the IC and to promote the consistent interpretation of statutes, regulations, policies, and Executive Orders. The Counsels Committee operates with the goal of providing legal analysis of, and options relating to, issues of particular importance to the Forum. During this reporting period, the Counsels Committee discussed and collaborated on key initiatives, including discussing policies and best practices with respect to OIGs responding to claimants alleging reprisal. The Counsels Committee also established working groups focused on increasing collaboration among the OIGs in a secure, virtual environment; and developing and communicating IC OIG views on certain pending legislation. Additionally, the Counsels Committee established a working group among certain OIGs to develop best practices to fulfill the semiannual reporting requirements under 5 U.S.C. § 405 for those OIGs in light of statutory amendments in December 2022 that modified those reporting requirements.



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The next Forum Counsels Committee quarterly meeting is scheduled for December 2023.

## THE FORUM COMMITTEES, SUBCOMMITTEES, AND WORKING GROUPS



## MANAGEMENT AND ADMINISTRATION COMMITTEE

In June 2023, the IC IG's Assistant Inspector General for Mission Support hosted a productive Forum Management and Administration Committee meeting. The June meeting addressed topics important to IC IG and the broader community. A representative from the Office of Legal Counsel at the U.S. Equal Employment Opportunity Commission (EEOC) delivered a presentation on the EEOC Select Task Force's Study of Harassment in Workplace. The briefing provided risk factors, as well as prevention and mitigation strategies. Other meeting topics consisted of a briefing from IC IG's Director of Talent and Workforce Development on the Intelligence Community Inspectors General Conference and Awards Ceremony; a progress update on the pilot IC OIG Joint Duty Initiative vacancy announcements; a discussion on the challenges in hiring hard-to-fill roles; and the possibility of coordinating an OIG joint recruiting effort.



The next Management and Administration Committee meeting is scheduled for December 2023.



MSD hosts a representative from the EEOC Office of Legal Counsel at a Management and Administration Committee meeting.



## THE FORUM COMMITTEES, SUBCOMMITTEES, AND WORKING GROUPS



### INFORMATION TECHNOLOGY SUBCOMMITTEE

The Mission Support Division hosted the Forum's Information Technology Subcommittee quarterly meetings in May and August 2023, respectively. In May, the subcommittee began developing a strategic plan and discussed information technology initiatives to advance the goals and objectives in expanding cross-community engagement and to align resources to enhance and strengthen the IC OIG community. At the request of the Deputies Committee, the Information Technology Subcommittee also established a working group for information and report sharing within the IC OIG community to further promote transparency.

In August, the subcommittee welcomed its new Chair, the ICIG's Information Technology Program Manager. The subcommittee also discussed software commonly used in OIGs to leverage purchasing or buying power for shared services and will begin compiling common OIG requirements.



The next Forum Information Technology Subcommittee quarterly meeting is scheduled for November 2023.



### RESOURCE INDEPENDENCE WORKING GROUP

The Resource Independence Working Group convened in April, May, July, and August 2023. At the first two meetings, the working group discussed topics, such as engagement with congressional oversight committee staff, OMB examiners, and the IC Chief Financial Officer monitors; data access challenges; and developing a checklist for ensuring federal OIGs meet the standards and requirements outlined in the CIGIE Silver Book.

During the July meeting, the working group discussed using funds for IC OIG common areas of concern related to information security and collaboration. The August meeting featured guest speakers from ODNI's Chief Financial Executive, who presented the potential impact of designating OIG budgets as congressional special interest items. This shift would protect OIG budgets from mid-year below-threshold reprogramming requests and strengthen Inspector General independence.



The next Forum Resource Independence Working Group quarterly meeting is scheduled for October 2023.

## Forum Working Groups Led by the Center for Protected Disclosures



### IC HOTLINE WORKING GROUP

On August 16, 2023, the Center for Protected Disclosures hosted an IC Hotline Working Group meeting. The group meets semiannually and comprises members from IC IG, CIA, DIA, NGA, NSA, NRO, and the Departments of Homeland Security, State, Justice, and Treasury. Topics discussed during the meeting related to the status of the IC consolidated reporting system for whistleblower complaints, a discussion regarding timeliness benchmarks and metrics of Hotline matters, training opportunities and IC IG conference ideas for FY 2024.



### WHISTLEBLOWER WORKING GROUP

The Center for Protected Disclosures broadened its whistleblower outreach during this period by participating in Forum and working group discussions. Specifically, the Center participated in the Hotline Working Group and engaged one-on-one with working group partners regarding standards of proof in clearance matters, the application of Merit Systems Protection Board case law in evaluating claims under 50 U.S.C. § 3234, and whistleblower training. The next working group meeting is scheduled for January 2024.

# Peer Reviews

## AUDIT

In September 2023, the DIA OIG reported on its external peer review of the IC IG Audit Division. The DIA OIG conducted its review in accordance with Government Auditing Standards and the CIGIE *Guide for Conducting Peer Reviews of Audit Organizations of Federal Offices of Inspector General*. The DIA OIG determined the system of quality control for the IC IG Audit Division was suitably designed and the division complied with its system of quality control, providing reasonable assurance of performing and reporting in conformity with applicable professional standards in all material aspects for the three-year period ending March 31, 2023. Additionally, the DIA OIG applied limited procedures to determine whether IC IG had controls to ensure independent public accountants performed contracted work in accordance with professional standards. The IC IG Audit Division received an External Peer Review rating of pass.

## INVESTIGATIONS

During this review period, the Investigations Division began its support of DIA OIG's review of NGA OIG's investigations program and completed its support of NRO's assessment of the DIA. As Chair of the IC IG's Investigations Committee, the IC IG Assistant Inspector General for Investigations continues to serve as the peer review coordinator for the IC OIG's investigations programs.

## INSPECTIONS AND EVALUATIONS

As Chair of the IC IG's Inspections Committee, the IC IG Assistant Inspector General for Inspections and Evaluations serves as the peer review coordinator for six IC OIGs to ensure adherence to the CIGIE Quality Standards for Inspection and Evaluation. The Chair coordinated peer review schedules with applicable committee members, facilitated preparations for the NRO OIG and NSA OIG to be peer reviewed, and IC OIG Assistant Inspector Generals for Inspections and Evaluations-nominated personnel to support external peer reviews.



# Five Eyes Intelligence Oversight and Review Council



FIORC Principals in Ottawa, Canada.

The Five Eyes Intelligence Oversight and Review Council (FIORC) comprises the non-political intelligence oversight, review, and security entities of the Five Eyes countries: the Office of the Inspector-General of Intelligence and Security (Australia); the Office of the Intelligence Commissioner and National Security and Intelligence Review Agency (Canada); the Office of the Inspector-General of Intelligence and Security (New Zealand); the Investigatory Powers Commissioner's Office (United Kingdom); and the Office of the Inspector General of the Intelligence Community (United States). The FIORC members exchange views of mutual interest and compare best practices in review and oversight methodology.

The members of FIORC hold conference calls throughout the year, but gather in person annually, with the host country rotating among the five members.

Canada hosted the 2023 annual FIORC meeting in Ottawa, from September 19 to September 21, 2023.

The Inspector General of the Intelligence Community, along with the Inspectors General from the DoD, DOJ, and CIA, attended the meeting, as did members of the Intelligence Community Inspectors General Forum, to include representatives from the NSA OIG and the IC IG.

The theme of the 2023 annual FIORC meeting was the lifecycle of national security accountability, with sub-themes of initiation, de-confliction and cooperation, and execution and after-care. Throughout the meeting, participants shared overviews of their approaches, best practices, and lessons learned related to the following topics: review topic triaging and proactive risk assessment; cooperation with data protection and civil liberties boards; cooperation with legislative oversight and review committees; reporting; and strengthening accountability for the future. In addition, the U.S. delegation briefed the FIORC members on the approaches taken by Forum members to conduct recommendations tracking and follow-up actions, and on best practices for reviewing and overseeing the use of automated data processing and artificial intelligence by agencies for national security activities.



## The Inspector General Community

Forty-five years ago, President Jimmy Carter signed the Inspector General Act of 1978 and described the new statutory Inspectors General as “perhaps the most important new tools in the fight against fraud.” The Inspector General of the Intelligence Community, one of 74 Inspectors General collectively overseeing the operations of nearly every aspect of the federal government, looks forward to continuing to work with CIGIE on important issues that significantly affect productivity, transparency, and accountability throughout the federal government.

The Inspector General is personally engaged in various CIGIE activities, serving as the Vice Chair of the Integrity Committee and as a member of the Budget Committee and the Diversity, Equity, Inclusion, and Accessibility Committee. Members of the IC IG workforce participate in various CIGIE committees and activities, to include the Legislation Committee, Technology Committee, Inspection and Evaluation Roundtable, and Cybersecurity Working Group, among others.



### SORT. SEARCH. FILTER

Oversight.gov allows users to sort, search, and filter the site’s database of public reports from all CIGIE-member OIGs to find reports of interest.

### OVERSIGHT.GOV

On behalf of the federal Inspector General community, CIGIE manages Oversight.gov, a “one stop shop” to follow the ongoing oversight work of all OIGs that publicly post reports. The IC IG, like other OIGs, posts reports to its own website, as well as to Oversight.gov, to afford users the benefits of the website’s search and retrieval features. Oversight.gov allows users to sort, search, and filter the site’s database of public reports from all CIGIE-member OIGs to find reports of interest. In addition, the site features a user-friendly map that allows users to find reports based on geographic location and obtain contact information for each OIG’s hotline. Users can receive notifications when new reports are added to the site by following CIGIE’s Twitter account, @OversightGov.

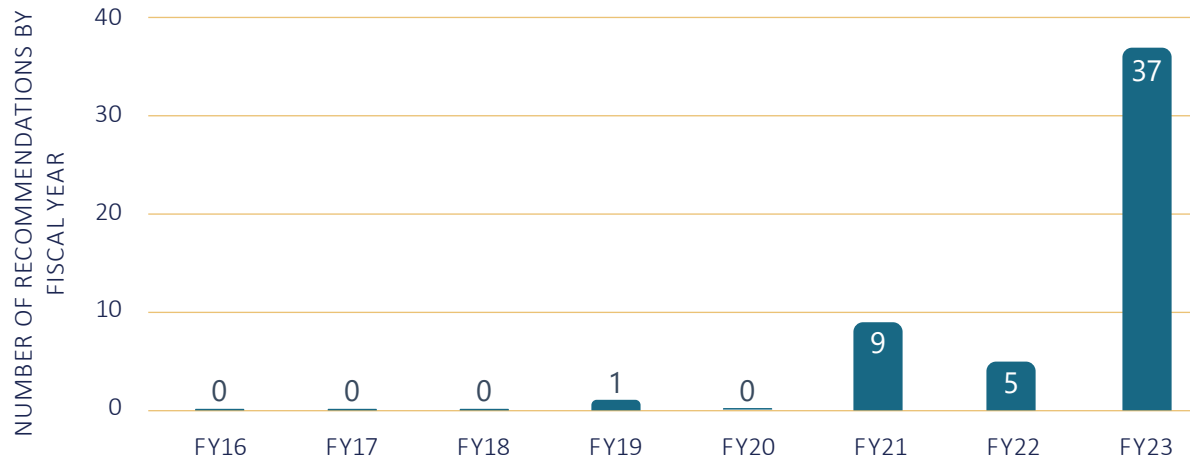


## RECOMMENDATIONS

Following publication of a report, the IC IG divisions interact on a minimum quarterly basis with the responsible ODNI officials (or other organization officials, as appropriate) to ensure the agency is taking actions to implement report recommendations. The IC IG personnel document the responsive actions taken into the IC IG's recommendations tracking database. The IC IG division leadership approves the closure of a recommendation once it has been demonstrated that responsive actions meet the intent of a recommendation.<sup>13</sup> The divisions may revisit closed recommendations to ensure actions are fulfilled or to inform follow-on reviews.

<sup>13</sup> In some cases, responsive actions deviate from the original IC IG recommendation because responsible ODNI officials may revise their plan of corrective action. In those cases, responsive actions may not align directly with the original recommendation, but IC IG may determine the actions still meet the intent of the recommendation.

### NUMBER OF UNIMPLEMENTED RECOMMENDATIONS BY YEAR



## Recommendations Table

REPORT NAME	DATE ISSUED	TOTAL ISSUED	NEW THIS PERIOD	CLOSED IN PRIOR SAR PERIODS	CLOSED THIS PERIOD	CURRENTLY OPEN
<b>FY 2023</b>						
Audit: Independent Auditor's Report on the Fiscal Year 2022 Office of the Director of National Intelligence Financial Statements	NOV	16	0	0	0	16
Investigation: Time and Attendance Fraud	NOV	7	0	4	2	1
Investigation: Contractor Mischarging (Labor)/Misconduct	JAN	3	0	0	3	0
Investigation: Contractor Mischarging	MAR	3	0	0	3	0
Investigation: Time and Attendance Fraud	MAR	8	0	0	0	8
Investigation: Employee Misconduct	MAY	7	7	0	1	6
Audit: FY 2023 Independent Evaluation of the Office of the Director of National Intelligence's Information Security Program and Practices, as Required by the Federal Information Security Modernization Act of 2014	JUL	5	5	0	0	5
Management Advisory Memorandum: Potential Risk Associated with Release of Polygraph Methods	SEP	1	1	0	0	1
<b>FY 2022</b>						
Audit: FY 2021 Independent Evaluation of the Office of the Director of National Intelligence's Information Security Program and Practices, as Required by the Federal Information Security Modernization Act of 2014	OCT	4	0	3	1	0
Inspection: Review of Intelligence Community Analytic Ombudspersons' Complaint Processes	DEC	1	0	0	0	1



## Recommendations Table

REPORT NAME	DATE ISSUED	TOTAL ISSUED	NEW THIS PERIOD	CLOSED IN PRIOR SAR PERIODS	CLOSED THIS PERIOD	CURRENTLY OPEN
<b>FY 2022 <i>continued</i></b>						
Investigation: Contractor Misconduct	FEB	6	0	2	4	0
Investigation: Time and Attendance Fraud	MAR	5	0	4	1	0
Inspection: Review of the Office of the Director of National Intelligence's Pandemic Preparedness and Response	JUN	3	0	1	0	2
Investigation: Other Administrative Matters (USSERA)	AUG	5	0	3	0	2
Investigation: Conflict of Interest	SEP	3	0	2	1	0
<b>FY 2021</b>						
Inspection: Evaluation of the Intelligence Community Foreign Language Program	AUG	9	0	0	0	9
<b>FY 2020</b>						
Audit: FY 2019 Independent Evaluation of the Office of the Director of National Intelligence's Information Security Program and Practices, as Required by the Federal Information Security Modernization Act of 2014	OCT	2	0	1	1	0

## Recommendations Table

REPORT NAME	DATE ISSUED	TOTAL ISSUED	NEW THIS PERIOD	CLOSED IN PRIOR SAR PERIODS	CLOSED THIS PERIOD	CURRENTLY OPEN
<b>FY 2019</b>						
Audit: FY 2018 Independent Evaluation of the Office of the Director of National Intelligence's Information Security Program and Practices, as Required by the Federal Information Security Modernization Act of 2014	FEB	11	0	8	3	0
Audit: Management of Privileged Users of Office of the Director of National Intelligence Information Systems	SEP	11	0	9	2	0
Audit: Office of the Director of National Intelligence's Fiscal Year 2018 Conference Spending	SEP	2	0	1	0	1
<b>TOTALS</b>		112	13	38	22	52

## Abbreviations and Acronyms

AI .....	Artificial Intelligence	ICD .....	Intelligence Community Directive
BAH.....	Booz Allen Hamilton	IC IG .....	Office of the Inspector General of the Intelligence Community
The Center .....	Center for Protected Disclosures	ICS.....	Intelligence Community Standard
CIA .....	Central Intelligence Agency	ICWPA.....	Intelligence Community Whistleblower Protection Act
CIGIE.....	Council of the Inspectors General on Integrity and Efficiency	IG .....	Inspector General
DCIS .....	Defense Criminal Intelligence Service	IPA .....	Independent Public Accounting Firm
DEIA.....	Diversity, Equity, Inclusion, and Accountability	MAC.....	Management Advisory Committee
DIA.....	Defense Intelligence Agency	MSD.....	Mission Support Division
DNI .....	Director of National Intelligence	NCTC.....	National Counterterrorism Center
DoD .....	Department of Defense	NGA .....	National Geospatial-Intelligence Agency
DOJ .....	Department of Justice	NRO .....	National Reconnaissance Office
EEOC.....	U.S. Equal Employment Opportunity Commission	NSA.....	National Security Agency
ERP .....	External Review Panel	ODNI.....	Office of the Director of National Intelligence
FIORC.....	Five Eyes Intelligence Oversight and Review Council	OIG .....	Office of Inspector General
FISMA.....	Federal Information Security Modernization Act of 2014	OMB .....	Office of Management and Budget
FOIA.....	Freedom of Information Act	PIIA .....	Payment Integrity Information Act of 2019
The Forum.....	Intelligence Community Inspectors General Forum	PPD.....	Presidential Policy Directive
FSA.....	Financial Statement Audit	PRAC.....	Pandemic Response Accountability Office
FY.....	Fiscal Year	SCIF.....	Sensitive Compartmented Information Facility
I&E.....	Inspections and Evaluations	UDP .....	Unauthorized Disclosure Program
IC .....	Intelligence Community	USSERA.....	Uniformed Service Employment and Reemployment Rights Act



THE OFFICE OF THE INSPECTOR GENERAL  
OF THE INTELLIGENCE COMMUNITY

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